Assessing public participation strategies in People's Housing Process in Wallacedene

by
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Declaration

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Abstract

Public participation is important in housing development. Since the start of democratic government in South Africa, local governments have been encouraged to promote and use public participation to empower its citizens to *influence, direct, control* and *own* their development initiatives. In this study the researcher assessed public participation strategies in Nomzabalazo People's Housing Process in Wallacedene (NPHPW).

The study assesses the public participation process applied and relevant strategies used in a housing development programme in the community, and to establish whether public participation in housing development in this area is practiced as local governance legislation suggests. The study also aims to establish how the selected public participation strategies used affect housing development, in particular assess if housing beneficiaries can actually "*influence, direct, control* and *own"* the housing project. In addition, the study aims to establish whether the COCT creates an enabling environment for authentic and empowering public participation for housing beneficiaries on matters that affect their lives.

Furthermore, the study evaluates public participation by the members of the public particularly beneficiaries in housing development by assessing the public participation strategies used during the housing planning and delivery in Wallacedene, using the International Association for Public Participation (AIP2) Spectrum model and Arnstein's (1969) ladder typologies.

Opsomming

Openbare deelname is 'n belangrike aspek in die ontwikkeling van behuising. Sedert die begin van demokratiese regering in Suid-Afrika, is plaaslike regerings aangemoedig om outentieke en bemagtigende openbare deelname te bevorder en te gebruik om die burgers te bemagtig om hul ontwikkelingsinisiatiewe te beïnvloed, te reguleer, te beheer en te besit. In hierdie studie het die navorser strategieë vir openbare deelname in Nomzabalazo People's Housing Process in Wallacedene (NPHPW) beoordeel.

Die doel van hierdie studie was om die toegepaste proses van openbare deelname en toepaslike strategieë wat in 'n program vir behuisingsontwikkeling in die gemeenskap gebruik is, te beoordeel, en om vas te stel of openbare deelname aan behuisingsontwikkeling in hierdie gebied beoefen word, soos wat plaaslike wetgewing voorstel. Die studie het ook ten doel om vas te stel hoe die geselekteerde strategieë vir openbare deelname wat gebruik word, die ontwikkeling van behuising beïnvloed, veral om te bepaal of die begunstigdes van die behuising die behuisingsprojek werklik kan beïnvloed, bestuur, beheer en besit. Daarbenewens het die studie ten doel om vas te stel of die COCT 'n instaatstellende omgewing skep vir outentieke en bemagtiging van openbare deelname aan begunstigdes van behuising in aangeleenthede wat hul lewens beïnvloed.

Verder het die studie ten doel gehad om die vlak van openbare deelname deur die publiek, veral begunstigdes in die ontwikkeling van behuising, te evalueer deur die strategieë vir openbare deelname wat tydens die beplanning en lewering van behuising in Wallacedene gebruik is, te beoordeel deur gebruik te maak van die International Association for Public Participation (AIP2) Spectrum model en Arnstein (1969) se leertipologieë.

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List of Abbreviations

ANC	African National Congress
BNG	Breaking New Ground
CBD	Central Business District
CBO	Community Base Organisation
COCT	City of Cape Town
CDE	Centre for Development Enterprise
DA	Democratic Alliance
DAG	Development Action Group
DHS	Department of Human Settlement
DLG	Developmental Local Government
GEHS	Government Employees Housing Scheme
GGLN	Good governance learning network
HDI	Human Development Index
HSDG	Human Settlement Development Grant
IAP2	International Association of Public Participation
IDASA	Institute for Democracy in South Africa
IDP	Integrated Development Planning
LED	Local Economic Development
NDP	National Development Plan
NEDLAC	National Economic Development and Labour Council
NEMA	The National Environmental Management Act
NGO	Non-Governmental` Organisation
NHF	National Housing Forum
NPHPW	Nomzabalazo People's Housing Project in Wallacedene
OAU	Organisation of African Unity
P4	Public Participation Planning Partnership
PAR	Participation Action Research
PDL	Poverty Datum Line
PHP	People's Housing Processes
PIP	Public Involvement Programmes

PPP	Public Private Partnerships
PSC	Public Service Commission
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa
SA	South Africa
SANCO	South African National Civics Organisation
SU	Stellenbosch University
CDE	Centre for Development and Enterprise
UN	United Nations
UNDP	United Nations Development Programme
USDG	Urban Settlement Development Grant

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CHAPTER ONE
GENERAL OVERVIEW OF THE STUDY

1.1 Introduction

The Constitution of Republic of South Africa (1996) hereafter referred to as "the Constitution (1996)" states that everyone has a right to access adequate housing, to live in peace and dignity in a secure place. Housing need to offer protection from, reasonable living space, privacy, sanitary facilities, energy and provide for secure tenure (RSA, 1996a).

South Africa (SA) has many challenges when it comes to housing development for the poor. In 1994, the housing backlog in SA was at about 1.5 million households. Since then about 5 million houses have been built, currently the backlog is at about 2.2 million households (Sonkanyile, 2019).

Due to urbanisation informal urban settlements that lack services have spread rapidly. In trying to address these developments, the focus has been on 'eradication' of informal settlements, without housing policies that address the social needs of residents (Huchzermeyer, 2010:132). The rate at which the informal settlements spread has put pressure on government to upgrade the infrastructure, housing, service delivery, social and economic integration. These actions acknowledge informal settlements as people's 'homes' within a broader conversational shift towards acknowledgement of diverse residents and activities, as observed in SA's shifting housing policy landscape (Shortt & Hammett, 2013:2-3).

SA is urbanised and where one lives matters, with migration patterns leading to a greatly unbalanced and slanted urban landscape (Havemann & Kearney, 2010:1). Historical settlement and spatial planning followed by urbanisation has contributed significantly to the government's inability to provide adequate housing (Christopher, 2005:267).

1.2 Background to the study

At the start of democracy, SA government realised it needed to maintain social stability to facilitate transformation. Among its many challenges, it had to address a huge housing backlog.

The National Development Plan (NDP) suggests that SA needs to improve its abilities and lives of its people. It needs to find long-term sustainable methods to address the housing needs of the poor. The Department of Human Settlements state that more than 3.2 million housing opportunities were created for the poor. Due to a concern that housing programmes deliver poor-quality housing with poor settlement surroundings with no supporting social facilities, the Breaking New Ground (BNG) was initiated (RSA, 2012:268-270).

The BNG programme tried to deal with these challenges by using housing as a tool for the development of sustainable human settlements and improving spatial reform. It promotes expanding housing forms and increased access in mixed-income and mixed-use housing projects. It also focused on social and rental housing to revive the under-pressure housing including the low-cost housing rental market; improving overall integrated human settlement that is linked to job opportunities. It involved informal settlement upgrade in well-located areas with focus on increased social housing delivery on affordable housing in areas of economic growth (RSA, 2012:268-270).

Housing challenges - shown, for example, by the high number and overcrowded informal settlements in areas of economic opportunity are snowballing even with the delivery of Reconstruction and Development Programme (RDP) houses. This indicates that the programme did not respond to the diverse housing needs of its beneficiaries. For example, it could not to respond to individuals who do not qualify for housing funding and also not able to access the limited housing opportunities. Despite the intent to bring private-sector finance into the low-cost housing market, not much was accomplished as investment risks remained high. It did not help to change the apartheid neighbourhood layouts and social engineering (RSA, 2012:268-269) in fact it perpetuated it.

Even with the improved state housing subsidies, housing programmes/projects are not achieving settlement areas that are suitable for different income groups, with the required social and environmental services and opportunities. Areas of economic growth and in-migration still have housing backlogs with more houses in areas of no economic activity. This shows that instead of focus being on holistic development of quality environments for poor communities with amenities, it was only on housing delivery. Even with adjustments made to the existing housing subsidy system, the department of human settlement continues to focus on funding

houses and not paying much attention in development of quality public spaces and infrastructure in those areas (RSA, 2012:270).

In prioritising the principles of authentic and empowering public participation in government matters, specifically Developmental Local Government (DLG) and Integrated Development Planning (IDP) at grassroots, the public need to be empowered to *influence, direct, control and own* their development. As previously stated, the capability of beneficiaries to *influence, direct, control and own* their development, is a core value for The International Association of Public Participation (IAP2) (2000), a major think tank on public participation as they, through collaborative co-production participate in the housing planning and delivery process. If one does not take part in their development, they will have no affinity for efforts of development and its outcomes. Therefore, as previously stated development can be seen as a process of accommodating the so-called building blocks of development, of which public participation is key (Theron & Mchunu, 2016:1-26). Swanepoel and De Beer (2016:67) hold the view that sustainable development can be maintained by ensuring that housing beneficiaries fully participate. Each situation that needs participatory interference needs a specific and relevant combination of public participation strategies which are specific to the local meaning-giving context. Strategies to be taken into consideration include many possibilities based on what is expected by the participatory facilitator and the beneficiaries of development. To achieve authentic and empowering participation depends on choosing the relevant grouping of strategies for a certain process of participation (Theron & Mchunu, 2016:129-130).

In SA the public participation strategies introduced since 1994, do not yield the required results due to the fact that the approach was top-down, prescriptive, and even a form of "window dressing" in not considering grassroots priorities. The municipal authorities do not create an enabling environment to make optimal use of an "appropriate mix" of public participation strategies that promote empowerment. Both DLG and IDPs fail miserably on the key priority of facilitation an enabling public participation regime.

1.2.1 Participatory governance to democratise local government

The government aims to address ongoing housing challenges through using participatory governance. The former Institute for Democracy in SA (2010:3) states that participatory

governance has to enhance democracy through ongoing public participation. According to Friedman (2006:4) participatory governance is based on public inclusion in the development of policies. As previously stressed, it is about enabling and allowing the public to *influence, direct, control and own* decision-making that could potentially impact them. Though this is one of the reasons the majority of the people fought against apartheid, but they still find themselves in powerless positions (Friedman, 2018:17).

Numerous government reports covered in the media confirm that the ideas of DLG, good governance and sound IDP have not been reached (Van Donk *et al*., 2008:95-96). DLG needs institutional measures that promote good governance to improve local government performance. This includes the establishment of Ward Committees (Western Cape Department of Local Government, 2016). However, Ward Committees are not regarded as very effective in advancing authentic and empowering public participation at local government. Their incompetence is caused by factors such as lack of skills and resources and failure to putting their concerns on the broader council agenda (Good governance learning network (GGLN), 2011:73). Importantly, a community where voices of the poor are not heard will be continually at war with itself and the state. Time that could be used for community-building and development that can improve citizens' lives will be wasted.

Successful government interventions depend on the extent to which public, private and semi-public actors succeed in creating a shared understanding of the nature of the policy problems and how they should be handled (Friedman, 2018, 17). The idea of governance reflects the attention that should be paid to the processes, in which stakeholders with different interests, resources and principles to co-produce policy practices that they share (Bekkers, Dijksstra, Edwards & Fenger, 2016:3-4). Good governance underpins all programmes/projects that are presented in the IDP. It dictates that local government must conduct its business in a transparent and accountable manner. For this to become a reality, authentic and empowering public participation is essential (Mqulwana, 2010:40).

Within the ideas of a DLG approach in SA the most important participatory governance tool that the City of Cape Town (COCT) has to use is the IDP. The IDP provides the integrative logic for the components of the new local government policy dispensation. The public is supposed to control the development of the IDP, but according to Pieterse Parnell, Swilling

and Van Donk (2008:5) this seldom happens as several IDPs fail to prioritise grassroots needs in SA.

The COCT should better prioritise a participatory governance tool such as the IDP to reach out to grassroots. The COCT regards the IDP as the main strategic planning tool, that leads and directs its continuous planning and development activities (COCT IDP, 2017-2022). An IDP is supposed to bring together participatory and democratic governance and effective management practices. However, IDPs are regarded as reinforcing a top-down approach that tends to be rigid and controlled by local government which then ignore the interests of beneficiary from the subsequent development. Local government rarely engages in authentic and empowering public participation. It mostly "informs" and "consults" participants (Theron & Mchunu, 2016:138). Davids and Theron (2014:115) hold the view that "consultation" type public participation strategy that does not include the public in decision-making: consultants and participation facilitators at municipalities more than often define problems and solutions themselves and are not required to consider the public's views in decision-making. The ideal level of public participation during the housing planning and delivery process is when the affected beneficiaries can actually *influence, direct, control* and *own* their development, a main hypothesis of this study. Consultation and information giving have a high degree of tokenism (Arnstein, 1969). Beneficiaries' level of participation in housing planning and delivery will be determined and test it against a public participation model such as Arnstein's (1969). Arnstein's model indicates the extent of the participants' ability through participating in a programme/project to actually *influence, direct, control* and *own* a development process.

Pieterse *et al.* (2008:7) add that IDPs were created to allow the public to engage in policy matters, but instead the public is given information, rather than allowed to provide input in policy development. This view relates to the point Davids and Theron (2014:111-128) make that "consultation" and "involvement" approaches to public participation in SA local government do not equate authentic and empowering public participation strategies. In this regard, participation strategies normally associated to "informing" and "consulting" the public do not allow the beneficiaries to *influence, direct, control* and *own* a particular programme/project (Theron & Mchunu, 2016:138). The IDPs follow a top-down approach driven by municipalities and have no extensive and thorough input from the beneficiaries. This

approach is often the unfortunate reality in housing planning and delivery as will be argued in following chapters.

The Municipal Structures Act (RSA, 1998) allows for the formation of Ward Committees, in order to connect the public, the political and administrative structures of local government to improve public participation within local government. Most municipalities, also argue, via their IDP, that Ward Committees are a principal mechanism for public participation. Nyalunga (2006:45-46) states that Ward Committees have a duty to network with external stakeholders for the advancement of their communities. As the most popular invited space for public participation, Ward Committees need to be used effectively in order to address the issue of poor public participation, in order to address service delivery challenges.

The generally known and much publicised shortcomings of Ward Committees defeat their good intentions, in such that if the public regard then as ineffective, they will lose faith in them and will look to find other ways of making their voices heard, such as engaging in protests (Friedman, 2018:17). This issue relates to the well-developed public participation division between invited and invented spaces, a key analytical construct in the participation debate. As previously stated with regard to the essence of public participation, Theron and Mchunu (2016:356-357) argue that empowerment involves the creation of participatory spaces in which beneficiaries of a specific programme/project, actually can *influence*, *direct*, *control* and *own* the process. If this is promised and the complete opposite is delivered, the beneficiaries are likely to be dissatisfied with the services provided, as is currently the position in large parts of SA (Municipal IQ: Protest Monitor).

As stated previously, Ward Committees are mostly perceived as ineffective in advancing public participation. This is due to lack of capacity and incentives to persuade them to work whole heartedly towards improving people's lives. Whilst Ward Committees are an important component of public participation, in some local governments they are still not functional, where they are in use, these are marked by uncertainty (Nyalunga, 2006:45-46). In this light, in instances where some form of awareness and capacity-building interventions are needed, IDP forums are of high importance with different forms of context-specific participation that ensure the processes of public participation are inclusive.

Ward Committees face structural limits to power and party politics. It is often allegation that Ward Councillors have a "direct hand" in ensuring that Ward Committee are picked based on their political associations. This adds to the allegations that Ward Committees are often just extensions of party structures and do not incorporate the full variety of public interests. Ward Committee members' lack of skills and expertise often hinder their effectiveness, making them fundamentally flawed in operation (Smith & De Visser, 2009:16-17).

The functionality and effectiveness of Ward Committees remain a huge challenge. As poorly resourced Ward Committees fail to meet expectations, Ward Committee agendas not prioritised in council meetings, poor relationships with other representatives and community development workers, all impact on their functioning and effectiveness and cause the municipal system to deteriorate (Qwabe & Mdaka, 2011:66-67).

Tadesse, Ameck and Christensen (2006:6) argue that it is not sufficient to only have public participation guidelines in governance, it is more meaningful if authentic and empowering public participation exists - the type which leads to participants actual ability to directly impact upon the outcomes of a development programme/project. For example, on the macro-level side of participatory democracy, periodic voting in elections, public hearings and petitions alone does not promise public participation in policy formulation. However, on the micro-level side of public participation, strategies which do not empower grassroots beneficiaries (advertisements in newspapers, bill information, legal notices, websites etc.) neither promise public participation in policy implementation (Davids & Theron, 2014:122-124). The point here, a macro-level or micro-level approach to public participation, is that the impact of selected strategies relate inter alia (i) understanding the local municipal social realities and meaning-giving context and (ii) depart from the context to choose the most "appropriate mix" of public participation strategies and present these in a bottom-up, collaborative, co-produced, Public Participation Planning Partnership (P4) process with the public as key stakeholders (Theron & Mchunu, 2016:1-26; 115-147; 149-186).

Participatory governance work to find solutions where democracy fails, by ensuring availability of relevant information, openness, building consensus in policy formulation and implementation, ensuring accountability in governance and enhancing the reliability and sustainability of programmes/projects. In this regard, it is paramount that the State, at local

government level (IDP, LED and Public Private Partnerships (PPP) in SA) appreciate the value of both macro-levels, i.e. voting/petitions/public hearings/constitutional offices and micro-level, i.e. community meetings/field offices/loud-hailing/community newspapers and radio as authentic and empowering public participation strategies. The greatest value to be added in the participation debate - the selection of strategies is for public participation policy-makers/facilitators to firstly appreciate voices from the below - the beneficiaries.

In this study the researcher argues that at grassroots - that is in municipal (IDP-level) administration and public management spaces - public participation by the intended programme/project beneficiaries is a condition towards establishing democratic local government, good governance, accountability and responsive local government. Such a space is the ideal level at which the citizenry collaborates towards the establishment of P4 with local government. In this regard, as argued above, local government planning and facilitation requires to prioritise the "appropriate mix" of context specific public participation strategies. The researcher will elaborate this argument in the following chapters.

1.3 Research problem

Public participation is the foundation of democracy. Programme/project outcomes have shown the possibility of overlooking the most important stakeholders - the beneficiaries of service. The aim of this study is inter alia to assess public participation strategies in housing planning and delivery in Wallacedene by evaluating the contribution of housing beneficiaries in the planning and delivery process of housing in the case study.

According to Brynard and Hanekom (2006:19) a social research problem statement guides the researcher in planning the research. Bryman (2012:7) adds that a research problem provides a clear statement of what the researcher wants to find out, as they are interrogative statements that the researcher seeks to answer.

A key vehicle to housing transformation is direct public participation in planning, governance in housing development programmes/projects at grassroots. In the case of democratic SA, public participation has been linked with legitimate governance. In this regard, local governments need to report annually on the "involvement" of the public in local government

matters and ensure their needs are prioritised and to report on the effect of their participation on decision-making (RSA, 1998). However, Williams (2008:43) holds the view that often public participation activities in democratic SA are mainly "spectator politics", where the general public merely endorse pre-designed programmes/projects. Public participation approaches which do not prioritise empowering approaches and do not prioritise beneficiary needs, thus often turn out to be "feel good" activities and "window dressing". Unfortunately, as two major studies show, the framework in which public participation should have ensured empowered communities - DLG - has also mostly failed the South African citizenry (Van Donk *et al.,* 2008:96; Parnell, Pieterse, Swilling, & Wooldridge, 2002).

Ensuring the implementation of an authentic and empowering public participation processes is important for better planning in order to achieve public interests. The public need to be empowered, regarding government development programmes/projects such as housing development. This will possibly influence social change among the members of the public, which can be used to integrate their diverse interests and thus allow the public to *influence, direct, control* and *own* decisions that will affect them. The current reality is that the public does not have sufficient "say" in the decisions that could potentially affect them, thus the process fails if tested against the IAP2 (2000) Core Values of Public Participation.

When assessing the impact of public participation in the IDP at municipal level, the conclusion is drawn that in many cases the first two IAP2 Core Values - ability to *influence* and *direct* local development processes are accommodated in SA. This study's research problem is not only interested in how housing participants, as local beneficiaries in a case study, can *influence* and *direct* decisions-making, but more so (the next two IAP2 variables) how participation actually empowers them to *control* and *own* local housing initiatives in the case study.

The current reality, 25 years into democracy is that although South African legislation makes provision for public participation to be part of local government policies, local government still fails to successfully implement the strategies to ensure authentic and empowering public participation. Local government's inability to provide an "appropriate mix" of public participation strategies could lead to development failure. The researcher argues that in housing development programmes/projects in Wallacedene, public participation is considered a "compliance tick box" rather than an opportunity to incorporate housing beneficiaries' views

and improve service delivery. As Govender and Penceliah (2011:14) state that, as a result of poor public participation at local government, there is not much improvement in service delivery, which leads to an increase in civil unrests.

The primary research question is: *Which "appropriate mix" of public participation strategies could ideally lead to housing beneficiaries to influence, direct, control and own their own development in housing planning and delivery in a People's Housing Process (PHP) in Wallacedene?*

1.4 Research hypothesis

According to Bless, Higson-Smith, & Sithole (2013:82) research hypotheses are identified from research problems in which questions about relationships among research variables that require concrete and testable answers to such questions. Hypotheses are predictions that the researcher holds among variables (Creswell, 2003:108). Brynard, Hanekom & Brynard (2016:23) state that a hypothesis is what the researcher wants to know as based on a particular topic under study. It can also be interpreted as a relationship between at least two variables.

The hypothesis is: if public participation in housing development is authentic and empowering, it can lead the public to *influence, direct, control* and *own* their development - successful housing development. Authentic and empowering public participation in housing planning and delivery process at Wallacedene can only be achieved if housing beneficiaries can actually "*influence, direct, control* and *own"* the housing development process. This hypothesis is based on a combination of the 7 IAP2 (2000) Core Values of public participation and the 4 principles of the Manila Declaration, (1989).

The variables in this study are public participation and housing planning and delivery. Public participation is the independent variable through the use of the IDPs. Housing planning and delivery is the dependent variable.

As continuously argued, at local government where authentic and empowering public participation has been implemented, the levels and success of public participation are often associated with an "appropriate mix" of strategies used. Thus, people need to be afforded with

the "appropriate mix" of public participation strategies that are relevant to them (Thwala, 2010:972). As previously stated Thwala (2010:972) confirms the important issue that public participation is generally more successful when people at grassroots *influence, direct, control* and *own* their development, than when higher level agents attempt to direct the development for the beneficiaries from the top.

1.5 Aims and objectives of the study

1.5.1 Aims of the study

This study aimed to assess the public participation process applied and relevant strategies used in a housing development project (Nomzabalazo People's Housing Project in Wallacedene (NPHPW), and to establish whether public participation in housing development in this area is practiced as legislation suggests. The study also aims to establish how the selected public participation strategies used affect housing development, in particular, and assess if housing beneficiaries can actually "*influence, direct, control* and *own"* the housing project of which they are the intended beneficiaries. In addition, the study aims to establish whether the COCT creates an enabling environment for authentic and empowering public participation for beneficiaries on matters of their development.

1.5.2 Research objectives

- To review best practices and model theories and strategies on best practise on public participation.
- To understand the degree of application of public participation in housing development, it's planning and delivery in the case study as planned and implemented by the COCT's Housing Department.
- To establish what municipal strategies are used to effect public participation, and if those strategies ensure that public opinion is considered in decision-making, inter alia how the 4 selected IAP2 Core Values are accommodated, namely:
  - ✓ Value 1: the public having to participate in decision-making on matters that affect them.
  - ✓ Value 2: the promise that people's contributions will be considered when decision are taken.

- ✓ Value 3: public interests and needs are communicated and met through public participation.
- ✓ Value 4: participation of those potentially affected is facilitated through public participation process (Davids & Theron 2014:112).

- To evaluate the effect and impact of public participation on housing development.
- To formulate recommendations regarding public participation strategies in housing delivery thereby ensuring that more "appropriate mixes" of strategies are considered which actually match local needs.

1.6 Significance of the study

This study will assist in decisions taken in order to identify the "appropriate mix" of public participation strategies for use in a PHP. It will also assist in enabling and identifying "appropriate mix" of strategies to improve public participation in future housing development. It will help highlight the importance of beneficiaries to *influence, direct, control* and *own their own* development. It will help municipal authorities and other stakeholders to understand the importance of authentic and empowering public participation and the fundamental role the public plays in participating in their own development programmes/projects. Also, it will consider the different public participation strategies to include the public during planning, implementation and monitoring of a PHP. It will assist different stakeholders to be able to understand the roles they can play in housing development in this area. The study will contribute to the knowledge and literature of public participation in housing development, DLG and IDP in SA. An outcome will be - if public participation is authentic - the building blocks of development will be accommodated.

1.7 Limitations of the study

This study focused on one Ward out of one hundred and sixteen (116) Wards that are covered by the COCT. The sample was taken from Ward 6 in Wallacedene which has a population of about 19000-21000 registered voters, which is part of COCT - which has a population of about 3.78 million people (Western Cape Government, 2018:65).

Some public participation meetings that the researcher planned to attend in order to observe in Ward 6, were rescheduled and held at later dates. This contributed to extended time frames. Due to work demands, some research participants were unable to honour the agreed appointments and had to be rescheduled. These were not foreseen when the time frames and the processes to complete this study were planned but had an impact on the research process.

1.8 Research design

According to Bless *et al.* (2013:130) research design relates to answering a research question directly. Babbie and Mouton (2015:74) state that it is a "blueprint" of how one intends to conduct the study. The researcher is of the opinion that qualitative research methods are suitable for this study, as the study requires the research process to ensure direct contact with the study beneficiaries to collect information on issues with regard to housing planning and delivery which impact directly on them. According to Denscombe (2010a:109) qualitative research designs can change, afford flexibility and adaptability as the research progresses.

As highlighted by Brynard *et al.* (2016:39) qualitative research focuses on people's experiences and gives the researcher an opportunity to engage research participants to experience issues as they are at grassroots. The researcher used qualitative methods such as questionnaires, observations and interviews.

1.8.1 Research methodology

The researcher conducted this study following a qualitative paradigm. Qualitative research as explained by Babbie and Mouton (2015:270) always attempts to study human actions from the viewpoint of social actors, and the focus is on the experiences of individuals in a particular case study.

The researcher gathered information using structured questionnaires (Annexure 3) and semi structured interviews (Annexure 4). The participants consisted of members of the general public in the particular case study and COCT municipal officials such as the Councillor and the housing office employees. Snowball sampling was used to identify participants that are associated with the PHP in the case study. Bless *et al.* (2013:176) explain snowball sampling

as a form of sampling where a researcher identifies a few participants and then relies on each participant to guide him/her to the next one, so extending the network of information. The researcher identified participants that are involved in public participation and housing development and those identified referred the researcher to others.

1.8.2 Population

The population of the study comprised the residents of Ward 6 in Wallacedene. The study drew participants from the PHP housing beneficiaries. According to Preece (2010:126) population refers to any whole group of subjects which has the characteristic identified for research purposes.

1.8.3 Sample

According to Babbie, E., Mouton, Voster & Prozesky (2017:164) sampling is when a portion of the population is selected that will allow the researcher to draw basic observations and then generalise from these observations to a wider population.

As stated, semi-structured interviews, structured questionnaires and PAR observations were used for data collection. The aim was to establish the degree of public participation by the PHP beneficiaries whether these participants *influenced, directed, controlled* and *owned* the decisions taken about their development in the NPHPW. Also, to identify public participation strategies that are used to promote housing development in the case study.

As stated above, the researcher focussed on Ward 6 and used questionnaires to gather more information. The sample consisted of 50 questionnaires that were given to housing beneficiaries. From them 48 questionnaires were returned. Personal visits were arranged and followed-up by telephone calls as reminders, and a snowball method was used as previously stated. Twenty interviews were conducted with housing officials and members of the public.

1.9 Research ethics

Research ethics help to ensure participants' identities and responses during data collection are kept confidential and ensure informed consent and voluntary participation is maintained (Babbie *et al.*, 2017:520-521).

Permission was requested for the interviews and granted in the form of verbal and written consent (Annexure 1 and Annexure 2), and explanations were provided to the participants outlining the purpose of the interviews/questionnaires and the study. The data collected was only used only for this study. The researcher followed and appreciated ethical issues such as informed consent, confidentiality and that the research participants were not forced to participate in the study. The Stellenbosch University (SU) Ethics Committee granted ethical clearance (Annexure 7) to the researcher to conduct the study and collect data using observations (Annexure 6), questionnaires and semi-structured interviews (Annexure 6, Annexure 3, Annexure 4). As, Bless *et al.* (2013:25-30) suggest that acceptable ethics standards need to be adhered to throughout the study. The researcher obeyed the research ethics as outlined.

1.10 Key concepts

In this study the researcher departed from the following, selected as defined in each case, analytical key concepts:

1.10.1 Public participation

Public participation is a process through which participants in a programme/project should ideally be enabled to *influence, direct, control* and *own* development decisions that affect their lives (World Bank, 1996:3; IAP2, 2000). It is an open procedure through which communities as grassroots beneficiaries of local affairs can share information, have discussions and effect decision-making. This format and ideal is the setting in which DLG and IDP should attach meaning to local governance.

The researcher argues that authentic and empowering public participation entails a collaborative, co-produced P4 as per Theron and Mchunu (2016:352) through which, in this case study, housing planners, more specifically those who should ensure public participation, from COCT should closely interact with housing beneficiaries. P4 approaches to planning

development programmes/project loosely links to what Theron and Mchunu (2016:17) refer to as the building blocks of development. For these authors a P4 departs with *public participation* followed by the establishment of a *mutual social learning process* (between developer and local beneficiary). This is followed by *capacity-building* of personal and institutional ability among both programme/project planners and beneficiaries to undertake developmental tasks with in a P4. This leads to *empowered participants* can be able to *influence, direct, control* and *own* their own development, generating a bottom-up planning regime. The above process and sequence should result in *sustainable development* and ideally these parts of the holistic whole should become part of a planning cycle (Mchunu & Theron, 2016:17-20).

The researcher experience is based on the view that the vision of active citizenship which is enshrined in the Constitution (1996) has not yet been realised in the public participation models set out in legislation and practice. As such poor South Africans still have little or no say in the processes of local government development that impact directly on them. In this regard, now 25 years after democracy, major macro planning regimes like DLG, IDP and NDP is still divorced from people's grassroots realities.

1.10.2 Programme/project beneficiaries

Programme/project beneficiaries are the people who can affect or are affected by the outcome of planning processes or planned intervention. They can be directly affected individuals or institutions with individual interests such as the poor and marginalised that stand to benefit or lose from a programme/project. They may include government authorities, Non-Governmental Organisations (NGOs) and donors (World Bank, 1996:125). In this study the programme/project beneficiaries are the housing beneficiaries who received housing through NPHPW in ward 6 - the case study.

1.10.3 Developmental local government (DLG)

DLG is government of which its main aim is to encourage economic and social development of an area (Van der Waldt, Khalo, Nealer, Phutiagae, Van der Walt, Van Niekerk & Venter, 2014:21). The White Paper on Local Government (1998) declares that DLG relates to community development. It should provide a State led empowerment process where the

grassroots are at the centre from where beneficiaries ideally should *influence, direct, control* and *own* their development, focusing on the micro-level challenges and provides local governments with the capacity to drive the provision of services. DLG helps to transform human well-being, address the needs of the grassroots and allows for authentic and empowering public participation. This relates to the principles underlying DLG. The practical outcomes addressing the principles in the field has not led to the boldly stated ideals transpiring into reality (Parnell *et al.,* 2002; Van Donk *et al.,* 2008:152; Theron & Mchunu, 2016:173-174).

DLG requires municipalities to be strategic, visionary, influential and should inspire innovation on how they provide services. As previously argued, it also relates to considering the accommodation of the building blocks of development i.e. engaging in *public participation*; establishing a *mutual social learning process* in *building capacities*; *empowering* the beneficiaries and striving toward *sustainable development*. In this way, they can impact on citizens lives. Crucial developmental results that must be sought in this regard include household infrastructure and services, the creation of habitable integrated cities, and the advancement of LED and PPPs who, all together strive towards establishing P4s (Van der Waldt *et al.,* 2014:57).

The researcher holds the view that DLG fails because COCT does not have the capacity to carry-out the required tasks for it to succeed, thus fails to achieve authentic and empowering public participation. Also, it fails because developmental programmes/projects use a top-down approach. Beneficiaries do not *influence, direct, control* and *own* development programmes/projects planning and implementation.

1.10.4 Integrated development planning (IDP)

Municipalities through the IDP prepare a strategic development plan for a period of time. All local government plans are guided by the IDP. IDP is supposed to be a collaborative and participatory process that requires engagement of many stakeholders. It is the crucial transformation process to establish viable municipalities towards capacitating local government to realise its development role, and to address the social and economic needs of communities (RSA, 2000a:4). The White Paper on Local Government (1998) states that

municipalities need to develop local infrastructure investment plans on the basis of IDP's. However, infrastructure programmes/projects are not always executed with the informed participation of local governments and in this case, housing beneficiaries.

Proper IDP rollout in local governance can lead to good governance, which necessitates the achievement of democratic government and the most suitable policy objectives for development. Good governance ensures that the poor are prioritised in the allocation of resources (United Nations, 2010). However, the ideals of IDP do not reach the expectations set in the White Paper on Local Government (1998) and, specifically, the Municipal Systems Act (2000) which explains IDP expectations.

Because of poor IDP implementation, and Ward Committees and Councillors not effectively engaging the public in participation processes, the public seem to be leaving forums for the "invited" spaces of public participation. If public participation structures such as IDP fail, angry citizens are likely to engage in protests, especially because protests seem to open doors for public participation (Siphuma, 2009:41). It is recognised that if "invited spaces" for public participation falls, the (frustrated) public "invent spaces" for participation: public protests then becomes a "new" form of public participation.

1.10.5 Empowerment

Empowerment entails possessing skills and knowledge to have decision-making power (Swanepoel & De Beer, 2016:69). It relates to the ideal that authentic and empowering participation, social learning and capacity-building should deliver empowered beneficiaries. Authentic and empowering participation involves the requirement of power for the participants in a development process as argued throughout: participants need to be enabled to *influence, direct, control* and *own* programme/project planning processes and their outcomes. It can occur through the development of abilities which enable beneficiaries to manage and take decisions in development. Empowered beneficiaries become self-reliant (Mchunu, 2012:12-19), as they will have the knowledge to *influence, direct, control own* their development.

The researcher is of the opinion that this is not the case in NPHPW. The programme/project beneficiaries do not drive their own development. They are not empowered to *influence, direct, control* and *own* their development. COCT officials are driving development such as housing

planning and delivery in this area. The beneficiaries are not equipped to be self-reliant to drive their development independently. They rely on COCT authorities to plan and carry-out development programmes/projects for them. This type of modus operandi will not enable a P4.

1.10.6 People's Housing Process (PHP)

A PHP is a form of housing planning and delivery that depends on community initiatives and participation by housing beneficiaries, where beneficiaries *influence, direct, control* and *own* their housing planning and delivery. It is meant to support the poor families who wish to enhance their subsidies by building their own homes through job creation and skills development (GGLN, 2011:46).

1.11 Outline of the study

Chapter One: General overview of the study- it introduces the study aim, objectives, hypothesis and the research problem. It also introduces the sample, population and the key concepts of the study.

Chapter Two: Literature review - presents public participation literature from the International and the South African context. It introduces the building blocks of development, public participation strategies in housing development.

Chapter Three: Research methodology and design - it presents how the research was conducted and the methods used to collect data.

Chapter Four: Housing - presents literature with regard to housing development particularly PHPs in SA's local government. It presents housing policy and challenges to housing development.

Chapter Five: Case study - this chapter outlines the case study concerning NPHPW housing development. It also presents data presentation and findings.

Chapter Six: Analysis and recommendations - this chapter outlines the analysis from the study and present the recommendations and the conclusion.

1.12 Chapter summary

Public participation is a pillar of democracy. The Constitution (1996) and the White Paper on Local Government (1998) require local government to adhere to public participation requirements. SA legislation requires the public to participate in decision-making on matters of their development and local government should ensure environment it creates allows for that. For public participation to be effective the public needs to *influence*, *direct*, *control* and *own* their development. Building blocks for development need to be followed for public participation to be authentic and empowering.

For development to be effective an "appropriate mix" of strategies need to be identified and implemented. The researcher used NPHPW in Ward 6 as a case study to evaluate and assess whether the public *influences*, *directs*, *controls* and *owns* housing planning and delivery. Moreover, the researcher will evaluate if the public participations strategies used allow for authentic and empowering public participation. The assertion of the researcher is that empowered citizens *influence*, *direct control* and *own* its own development.

CHAPTER TWO
CONCEPTUAL OVERVIEW OF PUBLIC PARTICIPATION

2.1 Introduction

This chapter focuses on public participation during housing development. It presents the international and the South African literature on public participation in housing development. It explains how public participation through use of the "appropriate mix" of participation strategies can allow the public to *influence, direct, control* and *own* their development. It discusses the International and the SA rationale of public participation as per the IAP2 (2000) Core Values for Public Participation, the Manila Declaration on Peoples Participation and Sustainable Development (1989) in order to understand public participation principles to determine the extent to which these can assist in advancing public participation in the COCT, specifically a PHP housing care study in NPHPW.

Service delivery continues to be a challenge despite the government working towards changing local government and making it democratic, with a comprehensive developmental mandate. This is where the concept of "invited" vs "invented" spaces of public participation as was conceptualised by Cornwall (2002), which aimed at giving opportunities for the public to *influence, direct, control* and *own* their development and decision-making processes. The COCT officials need to ask the views and consider the interests of those affected by a decision. They should use the public's "invented" spaces of participation to listen to the public and ensure their views are considered. The "invited" spaces use power, in which forms of tacit domination overpower certain actors (Cornwall & Coelho, 2007:11).

The core of democracy is that, those who are potentially impacted by a decision must participate in the process of decision-making. The grassroots in most cases have their own "invented" participation spaces, meaning they could be excluded. The public "invent" their own spaces of participation in local government matters using the gap (such as poor public participation) between the politicians and the public (Greenberg & Mathoho, 2010:13). The "invited spaces" are at government's directive, even if the government is prepared to hear the views from grassroots, it's on State's terms. The public often wait for the State to approach them, if that fails, they "invent" their own spaces which may be in the form of protest action

(Mphahlele, 2013:59). This is because public view the government as distant or that the "invited" state generated spaces has disillusioned the public previously. Reddy (1996:5) argues that authentic participation comes down to public participation, where the public is "invited" and allowed to lay bare all its needs and interests regarding their own development.

Public participation enables the poor to have more *influence* on the decision-making about their lives (Khan, Grundling, Ruiters, Ndevu, & Baloyi, 2016:75). Cornwall and Coelho (2007:7) believe that members of the public are open and ready to participate and share their political agendas with officials when afforded proper chances and get feedback.

2.2 Defining public participation

In public participation beneficiaries of development *influence* and share control over decisions and resources meant for their development (World Bank, 1996:3). It is a collaborative activity with the goal to solve problems and achieving more acceptable policies. It is a consensus-seeking, joint and organised efforts by stakeholders to pool their resources to achieve their objectives. It is inspired and driven by participants' own rational and discussions that they can effectively control. It entails the participation of beneficiaries of development in efforts to improve their lives, relying on their own initiatives. It also encourages effective self-help and mutual help (Davids & Theron, 2014:113). It is an open, answerable procedure through which the public and community groups can share information, discuss different views and participate in decision-making. It engages the public in planning, decision-making and be part of their development initiatives (RSA, 2000a:7).

It encourages stakeholder participation in the form of individuals, groups, or institutions that have an interest in the outcome of a programme/project. It includes the availability and distribution of timely and relevant information on development programmes/projects and proper public access to it (Southern African Catholic Bishops Conference, 2014:9). It is the direct and active participation of ordinary citizens in governance matters and general grassroots development programmes (Williams, 2006:2). Creighton (2005:8) states that public participation "informs" and listens to the public, engages in problem solving and develops agreements. It is an interactive process that incorporates public needs into decision-making process, with a goal of making good decisions that serve public interests (Mhone & Edigheji,

2003:6). It is meant to transform state power to increase group discussions, leading to meaningful resource allocation (Mogale, 2003:223). However, in SA beneficiaries of development continue to wait for development to reach them, as participation still often means more influence and resources to those who are already influential, while those who are less influential and less well-off benefit much less, or do not benefit (Theron & Mchunu, 2016:115-123).

Members of the public who actively participate in local government matters will have more confidence in their municipal structures. Though, the practice reveals that the envisaged participatory role has generally not met government expectations, neither the participants' (Maphazi, Raga, & Mayekiso, 2013:1). Although the idea of participation by the beneficiaries of development is widely appreciated and has become compulsory for many government development programmes/projects it does not mean that there was consensus in the debate on the value of participatory development. In this regard Williams (2006:231) states that participatory development stands accused of these failures: emphasising personal reform over political struggle, obstructing local power differences, and using a language of liberation to incorporate marginal populations of the South within an unchanging project of capital modernisation.

2.3 Public participation and the building blocks of development

As argued to this point, public participation lies at the heart of democracy. Before the dawn of democracy in SA in 1994, only certain minority groups enjoyed the benefits of public participation and the majority was disadvantage. The majority of the public were not allowed to be active in authentic and empowering public participation in policy formulation. The democratic government had to change that, and took the responsibility to ensure integrated, people-centred policies that respond to people's needs effectively (RSA, 1998).

Swanepoel and De Beer (2016:9) state that people-centred development is necessary for successful development. Development industry and agents need to accept that authentic development is about the public driving the development philosophy, strategy and policy. People-centred development, such as DLG, highlights the importance of development

initiatives and shifts it to the public by developing public skills and capacity in order to participate in its own development.

The challenge of development is to do better. That can be tackled by identifying policies, programmes/projects in attempting to make the world a better place for all, with personal dimension at the forefront of development (Chambers, 2007:185). The researcher previously alluded to the building blocks of development - below the blocks are unpacked in more detail:

2.3.1 Public participation

Public participation is necessary for development to be holistic and is an important part of human development and growth. It means that the majority participants in any development must be its beneficiaries. In a programme/project, beneficiaries should have a direct say in its outcome (Mubangizi, 2010:162), meaning they should *influence*, *direct*, *control* and *own* the process. Beneficiaries in NPHPW should have a direct say in their housing development.

Public participation needs to be encouraged, as people will participate in development programmes/projects if they feel the matter is important to them. People have the skill to identify a particular stake. Housing beneficiaries need to feel that their actions will make a difference. And if they feel their actions will make a difference on an individual level. The public must be enabled to participate and be supported with public participation structures and processes that are not alienating (Ife, 2013:173-174).

Public participation is a necessary approach for sustainable housing development. Participation of people in all aspect of the programme/project which are fundamental requirements of sustainable housing development as argued by Sowman & Urquhart (1998:14) in their classic study, “A place called home”.

2.3.2 Social learning approach

Social learning is a bottom-up exercise that aims to meet the need for flexible sustainability, based on a capacity-building form of assistance. It envisages development programmes/projects arising from a social learning in which locals and housing

programme/project facilitators share their knowledge and available resources to launch a programme/project. The emphasis is on the self-sufficiency of the poor, their right to decision-making and their empowerment. People must lead their own change process not just be the subject of change (Swanepoel & De Beer, 2016:48).

Beneficiaries of housing development should *influence*, *direct*, *control* and *own* their development, and establish dignity and self-esteem with reference to their own abilities. Public participation establishes a relationship between change agents and beneficiaries - a partnership through learning which can be idealised in (P4) based on mutual social learning, and the exchange and integration of knowledge regimes. In engaging in partnership action and mutual social learning, the change agents as the facilitators of development, should consider a shift in their orientation to development planning and management. This would include shifting from a: top-down to a bottom-up approach; control to a release approach; beneficiary-as-subject to a beneficiary-as-actor focus (Theron & Mchunu, 2016:18).

In a housing project for example a housing facilitator plans to interpret technical knowledge skill with the housing beneficiaries' indigenous knowledge skills and social capital: this forms an ideally context for planning in which all participants (officials and housing beneficiaries) collaboratively co-produce a P4. The researcher argues that such partnership is not only empowering (see other building blocks) but leads to legitimately (and increased participation) in housing delivery. Here, the outcome indeed is "participatory housing development", close to the world's most classic "participatory budgeting" process rolled-out in Brasil's Porte Alegree Local Authority (Gret & Sintomer, 2005; De Sousa Santos, 1990).

2.3.3 Capacity-building

The capacity-building process follows a mutual social learning process which gives rise to the P4 principle. Capacity-building is about strengthening the individual and institutional ability to take on developmental tasks. It works with the belief that people can lead their own change processes, and provides access to information, the resources required for meaningful participation. It entails ensuring available resources are distributed equitably to beneficiaries. It must consider for societal, economic and cultural differences in a community and needs political structures to be accountable and responsive to the needs of its beneficiaries. The state

must enable capacity-building, while other organisations assist as partners in the process (Desai & Potter, 2014:19).

Capacity building is meant to enable those at the margins to represent and defend their interests more effectively. When housing beneficiaries are empowered and have the capacity to carry their own development, they can represent their interest effectively. However, the State and NGO practices are about retaining power, rather than empowering beneficiaries (Cornwall & Eade, 2011:203).

2.3.4 Empowerment

In the logical sequence, building blocks "cementing" on each other, here empowerment relates to the ideal that authentic participation, social learning and capacity-building should deliver empowered beneficiaries. Empowered participants must be able to *influence, direct, control* and *own* the programme/project planning process and outcome. Empowerment can occur through the development of capabilities to enable beneficiaries to manage the development delivery system and ideally be an empowering process which equips beneficiaries to take action in terms of the development process (Institute for Development Studies, 2004). If COCT can empower housing beneficiaries in NPHPW to "*influence, direct, control* and *own"*, their development through authentic and empowering public participation. Beneficiaries will not depend on local government officials to drive their housing development, instead they will take initiative and *own* it

Empowerment is about changes in political, social and economic power between individuals and social groups (Cornwall & Eade, 2011:113). It leads to the ability to earn decision-making power, having the necessary skills, the correct information and knowledge. It must be aimed at allowing the public the power to make housing development decisions and continue to support them by providing necessary information to make good decisions. The public must be "developed" to take ownership and manage their future through their housing programmes/projects, have power to make decisions and be in *control* of their own development (Swanepoel & De Beer, 2016:69). Through empowerment, ordinary citizens can become aware of the possibility of co-option – thus, developing skills that would advance their interests (Williams, 2006:204).

2.3.5 Sustainability

Following on logical sequence among the above five blocks – now integrated, successful development should result in sustainability – the development that meets the needs of the present without compromising the needs of future generations to meet their own needs (Van Der Waldt, 2014:132). These development building blocks should become part of the planning cycle (Theron & Mchunu, 2016:20). Housing development processes need particular inputs/outputs to maintain equilibrium to grow and sustain itself overtime. People-centred sustainable housing development from grassroots is very important (Swanepoel & De Beer, 2016:72).

2.4 Public participation strategies

The IAP2 (2000) states that there should be a well-detailed lawful public participation policy that guides how public participation should be carried out. The policy document should be written in a simple manner that is understood by all and show how it will engage with representatives of the people and should also indicate clearly defined roles and responsibilities for the elected leaders. Members of the public should elect the leaders to serve their best housing interests. Public participation programmes/projects should *inform* how processes and roles of leaders affect housing development (Jordhus-Lier & Tsolekile de Wet, 2013:3-4).

The legislation on local government regarding public participation mention strategies for the establishment of community leaders and Ward Committees to represent the public and work with municipal officials. Hence community representative is mandatory for local government (Mosotho, 2013:18). The White Paper on Local Government (1998) encourages local governments to ensure that public participation takes place through the established structures. In Wallacedene community leaders and representative committees are elected by the public, therefore, need to have regular meetings with the public that elected them, in order to successfully implemented public participation policies.

In light of the above the South African local government has public participation and housing development policies that have to be followed by the COCT during housing development programmes/projects that shows consciousness of a democratic process of public engagement

as highlighted by the Constitution (1996). The COCT IDP (2017-2022) also highlights the importance of public participation in development programmes. Moreover, the COCT has policies, programmes, and identifies public participation strategies that can be used. Local government policies are not clearly detailed on how they need to be implemented. There are also no guidelines on how to effectively identify and implement the "appropriate mix" of public participation strategies for a particular community in order for it to *influence, direct, control* and *own* the development process.

According to the COCT IDP (2017-2022:26-28) the municipality plans to further open and improve its public discussions in development programmes/projects. Moreover, the COCT aims to ensure maximum public participation and feedback. The "appropriate mix" of public participation strategies also need to be identified considering that different circumstances require different strategies. The IDP does not clearly indicate how the public should "*influence, direct, control* and *own"* their development. COCT has a wide range of public participation strategies that it could use although it has not identified the "appropriate mix" of strategies to apply in housing development in NPHPW, as the researcher observed, that the focus mostly is on public meetings.

Though the housing development using PHPs has improved the standard of living for the people in NPHPW, there is still a need for more to be done, as some members of the public indicated to the researcher during the interviews, that they were not sure what processes are followed to become part of a PHP programme/project. Communication is necessary for a successful housing development. Development plans must be jointly negotiated and developed by all relevant stakeholders including local government officials and the public as argued in the explanation of the building blocks principles. For communication to be effective it has to be a two-way dialog with inputs from both the beneficiaries and the development facilitators, and not merely a dissemination of information (Adedokun, Adeyem & Olorunsola, 2010:103). Communication should not be used to persuade beneficiaries to participate where they had no input (Centre for Development and Enterprise, 2013:27) – the fundamental dilemma underlying authentic and empowering public participation. Meetings should not be used to encourage NPHPW beneficiaries to participate in events that they do not have a say in.

Poor communication and lack of information can poorly affect any development programme/project (Sibiya, 2010:43). This was evident when some of the participants indicated to the researcher that they don't know what criteria was used to screen beneficiaries that are selected to receive housing. The researcher suggests that communication should be done effectively from the beginning, before any planning can take place to avoid confusions that can possibly lead in development failure. It is important to provide programme/project beneficiaries with relevant information as early as possible.

Development facilitators should partner with beneficiaries and other of development stakeholders and keep dialogue open in a programme/project, dealing with challenges as they arise. Moreover, public participation can be encouraged by using appropriate strategies that are user-friendly and preferred by the concerned public. COCT should promote public participation by making use of strategies that are easily accessible to the people of NPHPW, such as planned public meetings that allow the public to voice their opinions and feedback needs to be given to programme/project beneficiaries (Swanepoel & De Beer, 2016:115-128). Public participation can also be encouraged by capacitating committee members and members of the public and allowing them to participate fully from the onset. Meeting agendas, times and venues must be communicated well in time and ensure that clear planning and feedback particulars are given to the public (Davids *et al*., 2009:178).

Gwala and Theron (2012:1) state that an "appropriate mix" of public participation strategies must be adopted. Focusing on only one type of public participation strategy will not ensure meaningful public participation. The most appropriate strategies for a particular municipality and different project types or initiatives must be used. For participation strategies to be effective they need to be context-specific, "appropriate mix" that is appropriate to the case at which participation is required. Theron and Mchunu (2016:130-132) argue that effective public participation strategies lead to acceptable policy outcomes.

Public participation in local government can take on various practical forms which could include public meetings, Ward Committees, rate payers' associations, citizen juries, neighbourhood assembles, NGOs, and Community Base Organisations (Andoh, 2011:128-129). The task is to move away from a system that is top down, where an autocratic elite gives orders to be followed by those down the line (Dlalisa & Mafunisa, 2009:689). Masango

(2002:56) also suggests that dictatorship can be fought through public participation while good governance is promoted. Thus, Mafunisa (2009:727) suggests that power needs to be dispersed, and each individual is held accountable for their actions.

Public participation structures often follow a rigid legislation set format, and do not allow for beneficiary input or *control* over the development process. There is indeed an unfortunate gap between participation theory and practice. To narrow it, change agents need to be re-trained and the beneficiaries should plan and identify the selection of appropriate strategies. This is fundamental to implementing grassroots participation programmes/projects in housing development (Davids *et al*., 2009:29).

As argued previously, participation strategies should not be viewed as "blueprints". Each local context needs an "appropriate mix" specific to the local meaning-giving context, depending on what is expected by beneficiaries of development. DEAT (2002:7-8) argues that participation relates to strategies which lead to a spectrum of various levels of public influence on decision-making. The IAP2 has developed a well-known public participation model though which to assess the possible impact of participation strategies.

2.4.1 High impact public participation strategies

Theron & Mchunu (2016:130-133) argue that authentic and empowering public participation strategies should be the ideal approach to follow - which have a high-level participatory impact. Public participation strategies with high impact include: public meetings that are properly planned and advertised where municipal managers, planning teams, participatory facilitators meet the public at a public place and have open discussions, question and answer sessions; imbizo's and indaba forums for open dialogue between stakeholders to identify and address issues of common concern which influence the future of policy outcomes; Participatory Action Research where stakeholders conduct participatory observations with regard to local issues with the participation facilitation a mutual social learning process, where the concerned people are empowered, the research process democratised and the future policies influenced, directed, owned and controlled by the beneficiaries; workshops in the form of meetings with delegates and interested parties such as NGOs, Community Based Organisations (CBO)s, and consultants who play a part in public participation; specialist training programmes, intensive

interaction accredited training by specialists; and advisory committees to advise decision makers on specific issues.

Theron and Mchunu (2016:130) suggest that the change agents, in partnership with direct inputs from the proposed participants should consider the best mix of context-specific relevant strategies. A combination of high impact strategies with medium or low impact strategies.

2.4.2 Medium impact public participation strategies

Public participation strategies that have medium participatory impact include: face-to-face interviews, specific one-on-one meeting with the public or a selected group of stake holders. It can be based on semi-structured interviews and open-ended questions. Structured personal surveys, specific information from a group is gathered, analysed and presented. Comments, response sheets and electronic polling-structured questionnaires are distributed to the public to gain information on concerns and preferences and to identify key issues and priorities. Of those with medium impact participation strategies.

2.4.3 Low impact public participation strategies

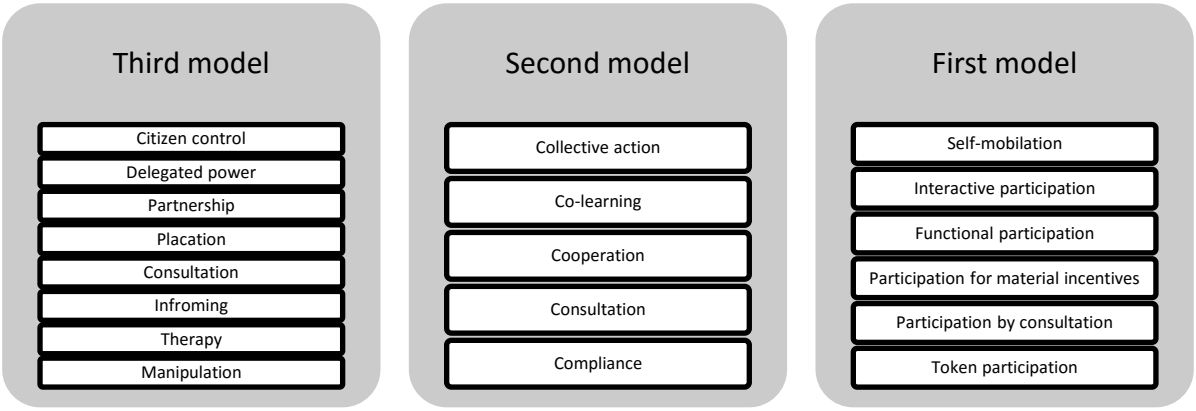
Public participation strategies that have low-level participatory impact that it are top down includes: bill information, informing the public using information flyer and general announcements with the monthly bills which inform the public of a proposal that is required by law to be displayed at particular locations such as municipal notice boards; newspaper advertisements to inform the public of a proposal; magazines and news articles, that provide information about a proposal, television on which relevant programmes would supply people with information of educational value; community newsletters are used to inform the public about events of interest. Moreover, briefings are used as opportunities to inform the public of different types of meetings; radio/talk shows. And lastly information centres which offer fairs and special events such as open days. Of the low impact participatory strategies, bill information was also used, which has a low impact according to Theron and Mchunu (2016:130).

Several public participation strategies, most of which are enshrined in legislation as a requirement in a public decision process. These may include public hearings, written public comments on proposed projects, and the use of a citizen-based commission with quasi legislative power. The citizen commission is another traditional model for public participation, where community representatives are elected to represent the interests of the people that elected them. There are also interactive and collaborative methods of participation that can serve as dialogues and a two-way learning process before decisions are made. They can serve as an important component of housing develop, especially in disadvantaged communities so people can participate effectively in various programmes/projects (Innes & Booher, 2000).

2.4.1 Public participation models

Theron & Mchunu (2016:130-133) have identified 3 levels of public participation, with some more relevant than the others in achieving authentic and empowering public participation. The route to achieving empowering public participation depends on the selected "appropriate mix" of strategies for a specific participation process.

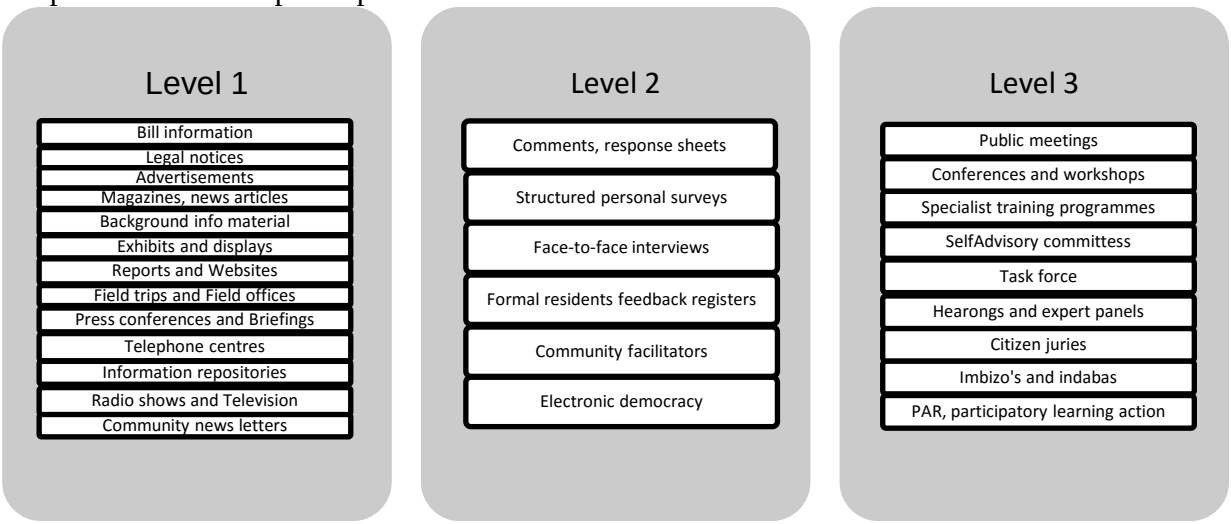
Graph 2.1: Models of participation



Source: Adapted from Theron and Mchunu (2016:130-133)

Davids and Theron (2014:122-125) identified the following models of participation: (table 2.2). Level 1 strategies have low-level / poor participatory impact and top-down, prescriptive in nature. Level 2 strategies have medium-level / average participatory impact, top-down and prescriptive in nature. Level 3 strategies have high-level / strong participatory impact, bottom-up and social learning in nature.

Graph 2.2: Levels of participation



Source: Adapted from Davids and Theron (2014:122-125)

In SA, public participation policies encourage the public to have a "say" in decisions about their lives. However, the beneficiaries are often "informed" (level 1) and "consulted" (level 2). Those strategies do not have a high participatory level of impact and do not allow the beneficiaries to be the owners of a particular programme/project (Theron & Mchunu, 2016:138).

The researcher argues that, Theron and Mchunu's (2016:131-132) argument on the nature and impact of public participation strategies is clear: in a programme/project such as housing development which requires public participation, the outcome of (impact) such a process will be greater if **level 3** (empowerment strategies) are used as point of departure. This does not mean that **level 1** (informing strategies) or **level 2** (consulting strategies) are wrong, but if these only are applied, the public participation process will have less value, less impact. The argument as previously developed, is as follows: use of an "appropriate mix" of strategies, departing from level 3 strategy, like a public meeting, but add to it a relevant selection of (other) level 1 and 2 strategies, in combination improve the possible impact of the public participation initiative.

Following the three-level analysis of public participation strategies, specifically the suggested "appropriate mix" of selected strategy approach, Theron and Mchunu (2016:139) argue that there is a promise that the public's views and ideas will be given due regard and *influence* decision-making. However, the public often have no "say" in housing programme/project

management, which makes their level of "influence" very low. As a result of the public's low level of "say" and "influence" in housing development, the intended beneficiaries often become frustrated. The researcher throughout argued that poor participation by beneficiaries and poor programme/project legitimacy may lead to protest and violence as is current reality in SA.

It is the researcher's contention that potential participants only participate if they think the process will be beneficial to them. Thus, current approaches to housing development fail mostly because housing change agents do not allow beneficiaries a direct and personal stake in the process. If no feedback was given on the extent to which the previous input had on participation processes and what impact it had on decisions made (Aigbayboa, 2011) as often the case in housing planning and delivery in NPHPW. Theron & Mchunu (2016:139) argue that poor programme/project administration and corruption has left a frustrated "beneficiary community".

Public participation process should thus, following the IAP2 Core Values, communicate to participants how their input affects the decisions. However, the housing development reality reflect that information sharing and the value of an input on decision-making, is often not part of the current practice of COCT housing officials and their relationship with housing beneficiaries in NPHPW.

There are few opportunities provided through state public participation processes ("invited" spaces) for rigorous public participation and input into such policy deliberations, and the role of Parliament in championing public participation in policy deliberations is in question. With executive policy and decision-making process characteristically opaque and few, if any, formal opportunities are created for public participation, policy priorities, targets are developed with little reference to public needs and recommendations. At the local level, more opportunities are created for direct public participation. However, the limited authority and scope of local government decision-making beyond basic service delivery, coupled with inadequate public participation strategies which fail to connect, in any significant way, citizen deliberation with decision-making, limits the ability of beneficiaries to *influence, direct, control* and *own* their development and the accountability.

Often formal State-initiated public participation strategies fail to connect citizens with state policy priorities and decision-making. It fails the citizen agency, and claimed, created spaces and sites for lodging demands on the State to ensure a robust, responsive democracy for SA. The challenges of access, resources, information, capacity experienced by marginalised groups such as the poor pose obstacles for fully representative and equal participation (Khan *et al*., 2016:100-101).

2.5 Factors influencing public participation

Successful public participation in housing development include a democratic government that acknowledges the importance of public input and a strong grassroots movement that is prepared to drive development. The government aimed to correct past injustices through improved housing policies that focused on people-centred approach, with low-income groups actively participating as partners in housing development (RSA, 1994a).

2.5.1 Public participation principles – The International Association of Public Participation (IAP2)

The IAP2 (2000), has identified the following 7 Core Values of public participation:

- The public "say" on decisions on matters that affect their lives.

In SA, policies allow for the public to have a "say" in their development matters, but most of the time the beneficiaries are just "informed" or "consulted", i.e. meaning that participants may be able to "*influence*," even "*direct*," a development process, but seldom actually *control* and *own* the processes. Participation strategies normally associated to informing and consulting the public do not lead to authentic and empowering public participation and do not allow the beneficiaries to *control* and *own* a particular programme/project (Theron & Mchunu, 2016:138).

- Participation pledges that people's ideas will be considered in decision-making.

Briad (2011:3) states that there is a need for public participation facilitators to ensure that beneficiaries of development are empowered and that the they participate effectively. Public

views thus need to be considered and actually influence the decision-making of their development. However, Mchunu and Theron (2016:139) state that this is not always the case in SA as the public do not usually have a say in IDP programme/project management which leads to very low *influence* in housing planning and delivery.

- Public participation communicates the interest of participants.

Inclusion of various stakeholders in decision-making leads to healthy debate which enable participants to be open and discuss disagreements and promote programme/project sustainability. After negotiations, consensus can be reached, which would lead to binding and collaborative decisions that are likely to positively impact future generations as consensus was reached and the public participation process is legitimised and seen as authentic.

According to Roodt (2001:469-481) the SA public participation process – specifically IDP – is still a top-down and control-oriented exercise. The IDP change agents take the majority of related programme/project decisions. Hence, the decisions cannot be referred to as being sustainable and based on participants' needs. The researcher's view is that beneficiaries' housing needs are not all considered before planning, instead they are presented with decisions on already made plans

- Public participation facilitates the "involvement" of those affected.

The IAP2 techniques such as "consultation" and "manipulation" to share information are empowering. They do not lead to engagement between the change agents and beneficiaries at grassroots. They do not cater for all and are an easy way for the change agents who are just looking to tick compliance boxes (Bhengu, 2013:43).

- Participants need to define how they participate.

Methods that are used to develop grassroots fail, because change agents do not give beneficiaries direct stake in the process, as beneficiaries are likely to participate if they regard the development programmes/projects as beneficial to them.

- It should be communicated how beneficiaries' inputs shaped decision-making.

Public participation should be transparent and show participants how their participation affected decisions taken (Koma, 2012:105). In housing development in NPHPW, it is not communicated to the beneficiaries how their views affected decision-making.

- Participants should be provided with information needed for meaningful participation.

In SA local government, information sharing and value of input in decision-making is often not part of the current engagement between change agents and beneficiaries as is clear from the outcome of many IDP processes which continue to fail to empower communities (Theron & Mchunu, 2016:140). This is evident in the use of public participation strategies that do not empower beneficiaries to *own* their housing development.

In light of the above Davids and Theron (2014:113) state that public participation is not fully understood and practised – it tends to be top-down, ad hoc, unstructured and uncoordinated. It is regarded by some participation facilitators as costly, time consuming and just a compliance box to tick. As a result, there is an increasing trend of service delivery protest. Andoh (2011:118) asserts that public participation is a vital response where communities display a diminishing trust in municipalities and are looking for improved performance and more accountability from municipal authorities. It is more critical among communities who feel that their concerns will only be taken seriously if they organise angry, sometimes violent – protests.

As previously argued by the researcher, the spate of violent protests seems to indicate a gap between the public's conceptualisation of performance as the outcome of programmes/projects, instead of the capabilities of municipalities to implement programmes (Andoh, 2011:119). Andoh (2011:123) also suggests a municipality can be regarded 'successful' in managing programmes/projects and conforming to regulations, even if there are no improvements on the overall wellbeing of the its people. This dilemma has been highlighted by numerous government statements on failure of municipalities in SA, as indicated in news reports.

An example of public participation not fully implemented in the COCT Municipality – in 2016 Maitland homeowners were up in arms over proposed plans to build low-cost income houses

for people living in an informal settlement in Kensington. The Maitland residents rejected the COCT houses because, "according to the Ratepayers Association, plans for the proposed housing development have been under way without any public participation". The residents were therefore not happy with the council's plans (Dano, 2016:5).

According to a newspaper article by Felix (2018:3), Blue Downs residents regard public participation as a sham. Residents were left frustrated as they did not participate in the low-cost government homes on their doorstep. Residents of Conifers, near Blue Downs, have complained about the absence of public participation in housing programmes/projects in their area, in particular where BNG houses were built on land next to bonded private homes, saying the developments had continued without public participation with the community (Felix, 2018:3).

In strengthening the internationally recognised IAP2 principles, the Co-Intelligence Institute highlighted the following public participation principles: public participation should include the diversity of perspectives engaged in a wise democratic process of people affected by the outcome; public participation should empower people's participation and feel part of the decisions made. If people are part of their housing planning and delivery, they will feel empowered, take ownership and support the implementation of decisions; public participation should invoke multiple forms of knowing – public wisdom needs to be considered in housing development; public participation should ensure ongoing high quality dialogue; public participation should establish ongoing participatory processes; exploratory approach which notes existing positions should be explored and understood so that new and better solutions to housing planning and delivery can emerge; public participation should make people feel fully heard to the extent that they will be able to hear others. Sustainable housing development needs collaborative deliberation and co-creative problem-solving from all stakeholders.

2.5.2 The Manila Declaration on People's Participation and Sustainable Development (1989)

The Manila Declaration identified the following principles as basis to people-centred development in Theron and Mchunu (2016:140):

- The public has the power to make positive change.

Power resides with the people, the foundation of democracy. Democracy is about giving people power and enable them to set and follow their own agenda. The COCT local government officials need to allow and make the public and the beneficiaries of housing development in NPHPW to be the real actors of positive change, not only to be mere recipients of development programmes/projects, from the top.

- The public must be enabled to set and follow their own plan.

The COCT Municipality needs to find the best "mix" of strategies that are easily accessible, that will allow the public to set and plan their own agendas. The public should be allowed to identify and prioritise their own development needs and services. The public must be able to hold government officials accountable and work together to ensure government act responsible.

- People must control their own resources.

The public needs to assume responsibility for their development. Local government officials need to be transparent about the available resources, and the people must have the capacity to control their own resource and be able to hold government officials accountable. The COCT local government must not only plan – they must implement the policies that require the public to *influence, direct, control* and *own* their development, and ensure that relevant information is made available for public development programmes/projects such as housing development. The COCT needs to work with the local people and all relevant stakeholders to identify and work on housing development needs of the people.

- Officials must participate to support public agenda.

The researcher holds the view that the COCT local government officials need to ensure that capacity-building is an important part of development, and relevant training is given to the development facilitators, councillors, NGOs and other stakeholders in order to give the necessary support to the beneficiaries. Thus, allow the housing development beneficiaries to *drive* and *own* their development when carrying-out development programmes/projects. Public meetings that are often used in the NPHPW housing case study should be mixed with more

"appropriate mix" of public participation strategies to ensure authentic and empowering public participation in housing development in the area.

As previously presented, the Municipal Structures Act (1998) provides for the formation of Ward Committees to bring government "closer to the people". Municipal Systems Act (2000) has introduced IDP which allow the public's needs to be made part of development plans. The Manila Declaration's (1989) emphasised people-centred developmental approach, in order for the beneficiaries to *influence, direct, control* and *own* their developmental interventions.

To further improve public participation at local government level, the IAP2 (2000) formulated public participation principles that are in line with the Manila Declaration (1989). Development change agents should co-produce municipal public participation strategies with housing development beneficiaries in order to ensure that beneficiaries drive development initiatives that would affect them.

If beneficiaries are part of planning and decision-making from the outset, they are likely to support those development programmes/projects. Beneficiaries need to identify and prioritise their own needs for development. Local government has a duty to ensure that beneficiaries create their agendas and plan their development. At the moment COCT officials are driving the housing development in NPHPW. The public is unfortunately only following the local government housing development plans.

Africa need to focus to the principles of development, creativity, self-reliance and create policies that promote public participation on development initiatives (United Nations, 1997). It cannot be built without public participation and people-centred development. The human and economic conditions cannot be improved without the participation of the majority of the people. This requires public participation in charting development policies, processes and contributing to their realization. Beneficiaries need to be empowered in creating the structures that serve their interests and contribute to the development processes and equitably share its benefits (African Charter, 1990:4-7).

2.6 Democratisation of local government in South Africa through public participation

As argued continuously, public participation should be a bottom-up initiative that enables citizens to make demands and claims on institutions above - strengthening grassroots participation, as a means of growing democracy from below (Barry, Dewar, Whittal, & Muzondo, 2007:271).

Democratisation relates to a need for representative forms of government with periodic elections, representative democracy based on the protection of human rights, and the substantive aspects that relate to a need for access to socio-economic entitlement needs. In SA people at grassroots are unable to achieve the substantive aspect that has forced them to "invent" their spaces of participation that fail to promote good governance (Mhone & Edigehji, 2003:3). Building an effective state (good governance) is an incremental and slow process (Khan *et al*., 2016:16).

The democratic government in SA had to pass new policies that are aimed at promoting cooperative governance and shared growth that would benefit people regardless of their background in order to advance social and economic state of the country. Cooperative governance includes building relationships with stakeholders. The new policies aimed to enforce public participation in governance matters. The promotion of DLG, declaring local government an independent sphere of government through decentralisation and democratisation, and introducing a culture of participatory governance, shows government's commitment in trying to reverse the apartheid legacy (Van Donk *et al.,* 2008:33; Theron & Mchunu, 2016:173-174).

SA democratic local government, more so DLG, is based on the Constitution (1996), White Paper on Local Government (1998), Municipal Structures Act (1998) and the Municipal Systems Act (2000). The main purpose of these Acts was to transform local government to be participatory, inclusive, and DLG that effectively responds to the people's developmental needs. The White Paper on Local Government (1998) gives practical meaning to the Constitutional (1996) requirements by prioritising DLG. The White Paper on Local

Government (1998) highlights the importance of partnerships in finding practical and sustainable ways to meet their needs and improve the overall well-being of citizenry.

To address inequality in a democracy you need public participation. Democratisation includes the need for decentralisation and power-sharing between authorities and the public (Roberts, 2004:318). Critical issues such as capacity-building, decision-making abilities, decentralisation and collaboration are vital for authenticity to be achieved (Todes, Sithole, Williamson & Ndlovu, 2007). However, public sector organisations are affected by a multi-dimensional changing environment. For this reason, they cannot remain static with regard to the manner in which services are rendered. In keeping with transformational imperatives, the public sector in SA should continuously strive to improve their knowledge, competence, and innovation in responding to public's needs (Auriacombe, 2010:10). Moreover, social learning as the second step in Theron's building blocks of development, is a key to democratisation and making organisations more responsive to social change, particularly where the focus is transformation and sustainable development (Penceliah, 2010:185; Theron & Mchunu, 2016:1-22).

2.6.1 Decentralisation to democratise local government

The Constitution (1996) assigns particular functions to be performed concurrently by the three spheres and also functions which appear to be in exclusive domain of the provinces. The national sphere has the power to legislate any matter – even matters contained as exclusive competences of the provinces when it is needed for economic unity, establish minimum standards for a service (Thornhill, 2017:86). Decentralisation involves the distribution of authority, responsibility and financial resources to other spheres of government for the delivery of services. It is an important contributor to the promotion of democratising government as it assigns decision-making power to structures in closer proximity to those affected by public service. Through decentralisation, local government is entrusted with housing planning and delivery. Local government structures need to be capacitated to perform their duties regarding housing development that is transferred to its level (Thornhill, 2017:95-96; Siddle & Koelble, 2012:3).

Local government authorities form part of decentralised governance and have decision making capabilities. They can be used to restore power to the public and making information and

reports available (RSA, 1998). According to Hickey and Mohan (2005:9) decentralisation holds a promise of changing the participation arena in that it provides grassroots the space to hold government accountable.

According to Mubangizi (2010:162-163) decentralisation and creating local government units pre-empt certain changes with regard to public participation. In SA local government has brought government closer to its people and has created space for participation within the local government level. As such it has greatly improved the chances of accelerating service delivery. COCT has a duty to ensure public participation in housing planning and delivery in NPHPW.

In light of the above arguments Hickey and Mohan (2005:9) claim that decentralisation can strengthen the hope for democratic local governance, as it holds a promise to change the participation arena providing grassroots space to hold government accountable. According to the World Bank (2011:5) decentralisation in SA is limited to delegation with less devolution of responsibility and resources to municipalities – it has a tendency to respond to crises by recentralisation, which impacts on accountability. Due to poor performance and accountability challenges at municipal level in SA, it can be argued that further devolution to Ward Councillors and Ward Committees is needed to bring government nearer to grassroots (Western Cape Department of Local Government, 2016). Public participation in housing planning and delivery in NPHPW can be strengthened further by giving Ward Committees and Ward Councillors more responsibility for it to be ongoing.

As financial responsibility could be considered the core component of decentralisation the degree of financial powers devolved to other levels of government will indicate the degree of centralisation. The World Bank identifies different types of fiscal decentralisation: self-financing; co-financing or co-production arrangements through which users participate in providing services and infrastructure through monetary and labour contributions; and authorisation of municipal borrowing and mobilisation of government loan guarantees (Thornhill 2017:90-91). The researcher identified that co-financing and co-production is used by the COCT in the development of housing using PHPs.

According to Thornhill (2017:94) decentralisation in decision-making and provision can be through privatisation or entering into partnerships with private organisations. Local

government can outsource housing planning and delivery to contractors to build houses for the public as a form of decentralising decision-making and service delivery.

2.6.2 Participatory governance to democratise local government

According to Motubase *et al.* (2016:91) in Koma (2017:25) effective governance increases the efficiency and effectiveness of the organisation, ultimately making clean administration objective a reality. The role of governance is to optimise the use of resources through ensuring proper internal control systems. Hence, proper governance translates to responsible spending of public funds and successful delivery of public services such as housing planning and delivery in NPHPW. In contrast poor governance can lead to wasted or stolen public funds which manifests as non-delivery of basic services to the people (Koma, 2017:25). Good governance can also help mitigate risk in public administration and service delivery (Nel, 2013:9).

Public participation in local governance gives hope of advancing democracy. Such participation informs a belief in agency and a conscious capacity in housing development participants in NPHPW. It allows the public to perform one's duties as an individual and also as an important member of a specific group (Williams, 2006:203). In this regard democratic governance need to achieve good governance and sustainably develop its society. Good governance is supposed to be participatory, transparent, accountable, equitable, promote the rule of law, ensure that priorities are based on the public needs and the interests of most vulnerable are considered when decisions are taken over the allocation of resources (Mavee, 2014:211-212). Allowing the public to directly *influence*, *direct*, *control* and *own* the process of governance makes for better citizen, better citizens make better decisions and better government (Cornwall & Coelho, 2007:4).

Good governance has proved effective in improving local government functioning and should be pursued in the SA context to achieve the desired housing development results (Koma, 2017:25). Thus, the quality of democracy is expressed through public participation, accountability, transparency and responsiveness (Govender, Reddy & Pillay, 2011:189). Good governance is the relationship of participation to governance – rooting governance among the people. Public participation is important for good governance as it improves people-centred

development, legitimises and improves the quality decisions and actions taken (Davids, Theron & Maphunye, 2009:64).

Following the above, COCT local government can use a participatory governance tool such as the IDP to reach out to the grassroots. Though, Roodt (2001:469-481) argues that the participation process in the IDP still builds on the top-down, with IDP change agents arguing that they know the needs of housing beneficiaries and decide which public participation strategies to use. Local government does not engage in public participation that is authentic and empowering to the public. It often "informs" or "consults" the public – as the IDPs are reinforcing a top-down approach that excludes the input of the beneficiaries from the ensuing housing development process. That is unlikely to lead to sustainable housing development.

SA local government is an important driver of housing development in order to improve lives of its communities. In SA, local government needs to ensure housing and other basic services, including housing are provided in a specific area, in order to maintain good quality of life. As argued throughout, local government has to work together with other stakeholders to improve the delivery of services by municipalities. Public participation is imperative for inclusive and effective decision-making in local government to take place. This will ensure that members of the public in local government contribute in decision-and policy-making processes (Madumo, 2014:130-131). Inclusive decision-making ensures understanding, improve the quality of decisions and promotes a community's developmental interest through the use of government institutions (Madumo, 2014:143).

2.7 Benefits of public participation

The researcher has previously stated that the dawn of democracy brought hope that the poor will enjoy the benefits of public participation, with the introduction of progressive laws. Mzimakwe (2010:504) states that public participation is crucial to promote good governance and advances the acceptability of decisions taken by housing officials regarding policies and programmes that affect the community. It helps to eliminate divisions between public agencies and citizens and helps reduce conflict (Bernstein, 2005). Through public participation citizens can develop valuable skills such as problem solving and creativity that can help them in their lives, thus build responsible, capable and competent citizens. All diverse interest groups are

allowed to have a "say" on issues that affect them. Municipalities need to build a culture of openness and responsibility in public institutions. Public participation helps promote quality democratic governance, and builds greater support, trust and confidence for government initiatives (RSA, 2014:20).

Public participation creates an ideal situation in decision-making in the different spheres of government. It is used to ensure that those who make decisions that affect people's lives engage in a continuous dialogue about outputs and outcomes of development decisions with those that are supposed to benefit from them. In this regard development change agents should engage on a continuous basis with the housing beneficiaries before making decisions on their behalf (Creighton, 2005:17). Officials have a duty to locate and develop a body of knowledge with regard to public participation principles, methods and an "appropriate mix" of strategies.

It is the researcher's contention and experience during participation observation that decisions taken through public participation are more inclusive of diverse perspectives and values. Inclusive public participation can result in more informed decisions that can help create strong and sustainable solutions, and encourage compliance with decisions (Friedman, 2006:13). Public participation thus, as has been argued throughout this study, plays a crucial part in people *influencing*, *directing*, *controlling* and *owning* their development and resources, which can have a huge impact on development programmes/projects such as housing development to work towards increased public participation in decision-making (Hunt & Spreckley, 2005:21. Therefore, a need exists in the development processes that will lead to empowering people, economically and also social equality, and improve access to services for all (Haus & Heinelt, 2005:9).

Different opinions from different stakeholders through public participation lead to better outcomes for all, community ownership and lower project costs but more importantly, decision makers need to hear ideas and feedback from the public. Public participation is not about spreading information and telling people what is being done but is a two-way process between decision makers and stakeholders. Everyone knows what they need and has an opinion about what needs to be done and what should be prioritized (Wouters, Hardie-Boys & Wilson, 2011).

Public engagement is often heavily one-sided, and engagement projects can be inundated with input from only those community members who have a strong opinion. Without other perspectives being aired, decision makers might not make the best decision for the community simply because of a minority of loud voice. If an opinion differs from the more popular ones, decision makers need to hear it so they can get a balanced understanding of the public's views and enhance the value of the final decision. The more views gathered in the decision-making process, the more likely the final product will meet the needs and address the most concerns possible. Members of the public can provide new information on a project that has yet to be considered. Public participation brings more information to the decision, including scientific or technical knowledge, knowledge about the context where decisions are implemented, history and personalities. More information can make the difference between a good and poor decision (Wouters *et al*., 2011).

When the community participates in a project, they have ownership of it and the decision-making process, which is key to a successful project outcome. When a project is finalised and members of the public can see the fruits of their labour, it feels good knowing that they were involved in something that benefits their community. For public agencies with political leaders, the total number of people engaged is important. Engaging higher numbers gives the elected representatives confidence in their decision. Talking to local representatives in person is a great way to get an understanding of the project and how one can participate. Face-to-face and online community engagement methods are becoming increasingly popular and often surveys, polls and other interactive online tools are used to enhance public participation (Social pinpoint, 2019).

Public participation helps improve the understanding of client expectations and user group needs; proved agency understanding of conservation issues; improved agency understanding of the role and contribution of the community; greater continuity in knowledge; ability to build community support for a project and to improve stakeholder relationships; improved public understanding of the agency's responsibilities; improved staff and community technical knowledge; improved agency credibility within the community; improved quality of decision-making; enhancement of social capital and flow-on social and economic benefits; enhanced and informed political process; greater compliance through increased ownership of a solution; access to community skills and knowledge (Wouters *et al*., 2011).

2.8 Development and public participation challenges

According to Fourie (2011:155) the public sector's performance in delivering public services is less than satisfactory. Its limited ability to develop and protect the poor is particularly concerning, where funding remains a challenge (Sibiya, 2010:43). Due to poor resource allocation, lack of effective policies, poor programme/project implementation related to service delivery and access to information on local development programmes/projects. Mosotho (2013:22) argues that there is also a lack of crucial expertise at local government. In addition, corruption delays housing development (Sibiya, Aigbavboa, & Thwala, 2013:35). The following factors also contribute:

2.8.1 Low capacity

The public service suffers from weak human resource and system capacity, due to insufficient skills base, management, operational policies (Fourie, 2011:155). PHPs as a housing development strategy offer training and technical support to families with undeveloped properties who wish to build their own homes (Cape Gateway, 2007).

There is lack of capacity and appropriate systems to incorporate public inputs into the broader planning and budgeting at local government level**.** Institutionally, the COCT does not have the required structural and logistical support base in place to organise, analyse and integrate the various public proposals into their planning programmes/projects. Based on the lack of capacity, there is a real danger that the public will become unhappy with public participation components as they are of the opinion that the process does not adequately respond to their needs (De Visser, 2009:23).

2.8.2 Centralisation and top-down governance

Developing countries' such as SA often follow centralised, top-down structures that stress control in the governance powers and necessitate role players to only follow processes. Government is organised in accordance with classical bureaucratic models that are based on non-innovative, unproductive and unresponsive processes and limited potential for change (Fourie, 2011:155).

Mubangizi (2010:150-151) is of the opinion that not all citizens within local government have benefited from decentralisation in equal measure. Certain local governments lack the necessary resources to meet their objectives due to inadequate support from national government. Local governments should implement housing development that are based on widespread and informed public participation (Mubangizi, 2010:162).

2.8.3 Poor evaluation mechanisms

Weak internal evaluation mechanisms in public service makes it difficult to deliver good performance (Fourie, 2011:156). Selective participation could hinder development, as the needs of the beneficiaries are determined by people who are not beneficiaries and do not have the experience the beneficiaries have on the matter. Certain groups such as the wealthy may be allowed to be partners in development. Development agencies may buy the support of well-known community members to be committee members, often leading public participation being turned into manipulation and the misuse of resources. With manipulation, participants are part of the powerless committees and participation is just a public relations exercise for those influential (Theron & Mchunu, 2016:126). Social obstacles and domination by the powerful work against development (Kangwane, 2008:29). Public Service Commission (PSC) (2003:11) has also identified lack of government commitment to adopting a participatory approach as an issue.

2.8.4 Lack of expertise

Lack of expertise may lead to inability to prioritize effectively, not having clean and proper plans, inability to implement development plans as they should and may lead to poor decision making. The goal of development programme/project is to produce a successful product or service. Often this goal is hindered by the errors due to lack of expertise from team members and others associated with the projects. Projects most commonly fail because there is a lack of attention and efforts being applied. A clear link between the project and the organizations key strategic practices needs to be established key expects utilized for the realisation of each stage. The project plan needs to cover the planned delivery and the means of benefits realization (Discenza & Forman, 2007).

2.8.5 Corruption

Governments that are afflicted by a corruption which involves the misuse of power in the form of money or authority to achieve certain goals in illegal, dishonest, or unfair ways are not capable of prospering effectively. They are not able to function properly because corruption prevents development to functioning freely. As a result, corruption in a nation's political and economic operations causes its entire society to suffer (Mirzayev, 2020).

Developing countries tend to have much higher corruption levels compared to developed countries. Corruption can lead to an uneven distribution of wealth due to illegal connections with government officials. Resources can be inefficiently allocated and companies that otherwise would not qualify to be awarded government contracts are often awarded projects as a result of bribery or kickbacks. The quality of housing delivered also deteriorates, leading to an overall lower standard of living for the country's poor. This may result in excessive expenditure in the execution of housing programmes/projects and substandard or failed projects, leading to overall inefficiency in the use of resources. Public procurement are vulnerable to fraud and corruption due to financial flows involved (Mirzayev, 2020).

Public Service Commission (PSC) (2003:11) has also identified the following public participation challenges:

- Lack of government commitment to adopting a participatory approach: public participation is often seen as a time-consuming process.
- Unwillingness of the project officials to relinquish control over projects: officials are often not receptive and do not acknowledge the importance of citizens' views. This is because officials consider themselves experts in their field.
- Lack of incentives and skills among project staff to encourage them to adopt a participatory approach: public participation requires a set of skills in the ranks of officials to be able to interact with diverse groups and understand the dynamics of the society. Without incentives, officials do not go an "extra-mile" to engage the public. Lack of public participation skills also compromises effective public participation.
- Limited capacity of local government participation and insufficient investment in public capacity-building: members of the public require information about available platforms for

public participation. They need to be capacitated on how to *influence*, *direct*, *control* and *own* matters that affect their lives.

- Public participation starting too late: often the public is not "involved" when programmes/projects commence, they are only "introduced" when development initiatives have not succeeded in order to manage the crisis and rectify the processes.
- Mistrust between government and communities: lack of transparency and openness often disrupts public participation. Due to past experiences, people loose trust in government.
- It is important that the above-mentioned challenges are considered by housing facilitators when designing any public participation strategy and initiatives. Public participation should not be seen as an act of kindness by departments. Government need to recognise and appreciate the importance of the public participating in initiatives that affect their own lives (PSC, 2003:11).

2.9 Chapter summary

Public-participation processes may be time consuming, but it is considered a point of departure and general principle which housing development facilitation should consider (Davids & Theron, 2014:134). In light of this, strengthening P4s between the public and officials help ease building consensus and lends legitimacy to government decisions and also gives housing beneficiaries a sense of ownership in decision-making. The public tend to commit themselves to projects where they are part of public participation and ensure their implementation work.

By participating in housing development decision-making process, the public will realize the importance of their participation in deciding their future (Marzuki, 2015:21). Participation development programmes/projects can lead to empowered outcomes for its intended beneficiaries (Davids *et al.*, 2009:168).

Development strategies include economic development, housing planning and delivery, and should include the concerted participation with economic processes that steer them in appropriate pro-poor directions (Khan, 2004:20) reconciliation being at the centre of strategy.

Development beneficiaries should become masters of their development, since participatory development is driven by a confidence that people have the ability and responsibility of shaping

their future (Heller, 2009). This would lead to the ideal situation, the public's ability to *influence*, *direct*, *control* and *own* their development initiatives - in line with the principles of the Manila Declaration on Peoples Participation and Sustainable Development (1989) and IAP2 (2000) Core Values of Public Participation.

Following the theoretical background and contextualization as presented in the previous chapters, the researcher presents the research methodology considered for this study in the next chapter.

CHAPTER THREE
RESEARCH METHODOLOGY

3.1 Introduction

This chapter gives an overview of the research methodology used in this study. It explains the procedures used during data collection and provides the population statistics, data collection procedure and the reliability of data. The study was undertaken to evaluate the public participation strategies used during the process of housing planning and delivery in NPHPW, housing development in the case study area.

3.2 Research methodology and design

Research methodology focuses on the process followed to complete the research. Brynard *et al.* (2016:38) define research methodology as a group of methods used in the collection of data that needs a reflection on the research completion while complying with its objectivity.

Research methodology focuses on the research processes and the selection of appropriate actions to follow while the design focuses on the final product of the planned study (Babbie *et al.*, 2017:75). Methodologies are the overarching ideas that tie all the research actions taken to collect and analyse data (James, Slater & Bucknam, 2013:34).

Research design is a specification of the most adequate operations to be performed in order to test a specific hypothesis (Bless *et al.*, 2013:71). Research designs are useful procedures, plans and strategies that help guide the methods and decisions that the researcher must take during the study and set the logic by which interpretations to obtain answers to research questions at the end of their studies are located (Creswell & Plano-Clark, 2013:53; Kumar, 2005:84).

This study used qualitative research methods. According to Bless *et al.* (2013:58) information such as human experiences that may be generated from interviews, literature, stories or observer notes may not be recorded adequately using only quantitative methods.

Social research is a more structured, organised, and systematic process for producing knowledge about the social world (Neuman, 2000:2). The voluntary consent of the human subject in the research is crucial, a person should have the capacity to give consent, exercise free power of choice, without duress and deceit (Denscombe, 2010a:66).

3.2.1 Qualitative and quantitative methods

This study used a qualitative approach with quantitative methods of data collection. Qualitative research methods seek people's point of view and frames of reference, and allow the researcher to select activities and context, that provide opportunity to understand how things work (Stake, 2010:57; Schurink, 2009:803). It is also a do it yourself-process, with an effort to generate situational interpretations of a phenomena (Maxwell, 2013:2). Qualitative research is connected to social change, with the aim to change individual behaviour, organisational practices or politics of the nation (Warren & Karner, 2016:13). Marshall and Rossman (2016:101) state that qualitative studies should be used where the importance of context, setting and participants' frames of reference are important.

Welman *et al.* (2010:8-9) state that, qualitative research methods deal with subjective data, created in the minds of respondents. Qualitative researchers look at day-to-day life activities by having conversations, observations and base their findings on such events, including the people's behaviour, thus producing the best data. In this regard, participatory observation methodologies are important as they involve a closer relationship between the researcher and the researched (Babbie *et al.*, 2017:18).

Data was collected from documents, interviews, case studies and observations. The validity of data, as well as the study being representative of the population, are what matters most in qualitative research. Since there are many ways in which public participation can be evaluated – in view of the fact that an assessment of people's experiences and perceptions of public participation is the object of this study - a predominantly qualitative approach was used. Data obtained through the quantitative - with the use of a structured questionnaire was also used. Housing beneficiaries in NPHPW provided information through completing questionnaires.

Quantitative research is the systematic empirical investigation of observable phenomena via statistical techniques, with the objective to develop and employ theories, and hypotheses pertaining to phenomena. The process of measurement is central to quantitative research because it provides the fundamental connection between empirical observation and expressions of quantitative relationships. Quantitative data is any data that is in numerical form such as percentages. The researcher analyses the data with the help of statistics and hopes the numbers will yield an unbiased result that can be generalized to some larger population method (James *et al.*, 2013:9).

Interviews brought insights into people's lives, experiences, opinions, values, aspirations, attitudes and feelings towards housing development in the case study. The researcher attempted to control the interviews through predetermined questions, to which respondents were encouraged to answer questions in their own terms. With semi structured interviews, the interviewer recorded the responses and the information that was gathered. According to May (2001:120-123) this can allow the interviewer to probe beyond answers and enter into a dialogue with the interviewee

According to De Vaus (1996:3), questionnaires, interviews and observations are the appropriate techniques of collecting data for qualitative studies and once the data has been collected, they have to be analysed. Surveys provide a swift and inexpensive way of learning the characteristics and beliefs of the population at large. Qualitative studies aim to describe the characteristics or opinions of a population through the use of representative sample. Surveys measure facts, attitudes or behaviour through questions (May, 2001:89-90).

The researcher tries to understand the meaning that respondents attach to their situation - in order to build a holistic picture and report detailed views based on such information. In this regard, qualitative research approaches depend on objectivity and adherence to ethical elements to enhance the quality of the findings.

The researcher used NPHPW in Ward 6 as a case study to gather the necessary information that would assist the researcher to meet the research objectives and describe the actions of the research participants in detail in terms of beliefs, history and context (Babbie & Mouton, 2015:271). According to Ouyang (2009) in Babbie & Mouton (2015:271-278) A case is still

an effective and holistic strategy used to collect and analyse data in complex settings. Gerring (2009:37) holds the view that a case study is an intensive study of a small number of units, for the purpose of understanding a larger class of similar units.

3.2.2 Participation Action Research (PAR)

PAR methodology is applied to observe the real views and patterns of participants in the housing development case study (MacDonald, 2012:34). PAR is a powerful tool for researchers who seek to create change in complex situations for the sake of sustainable improvement (James *et al.*, 2013:1). The researcher observed the type of public participation strategies used in housing development and planning, while attending public meetings, having conversations and interviews with housing beneficiaries in NPHPW.

The researcher also used PAR during numerous observations that were done during public participation meetings that took place in Wallacedene. According to Babbie *et al*. (2017:314) participatory observation are most useful to grassroots development interventions, as they have a bottom-up nature and renders development assistance more responsive to the needs of local people. During participatory observation the researcher made notes to analyse after those observations. These "field note'" are considered a central tool for data collection in PAR (May, 2001:160). In PAR, participants' expertise is valued and respected. Their local knowledge and perspectives of their situation are relied upon and incorporated into the research process. PAR is particularly concerned with action that induces positive, progressive, remedial and corrective social change (Babbie *et al.*, 2017:321-237). According to Nind (2011:2) PAR is developed as a way of doing research largely for people who have been considered voiceless and trying to enable them to participate.

PAR emphasises dialogic engagement, development and implementation of context-appropriate strategies oriented towards empowerment and transformation. PAR is a collaborative process of research that is oriented towards social transformation. PAR recognise the plurality of variety of knowledge in variety of institutions and locations and is more focused on policy reform, social action and change. It collaborates with marginalised groups and it is a flexible, context-bound, orientation to inquiry that accommodates uncertainty and addresses real-life problems (Kindon, Pain & Kesby, 2008:9-14). Within PAR, the researcher's function

is to serve as a resource to those being studied - typically, disadvantaged groups to afford an opportunity for them to act effectively in their own interest (Babbie, 2010:313). The researcher collaborated with the research participants in order to observe public participation strategies used in social transformation through housing planning and delivery in NPHPW.

PAR produces relevant results and adequate knowledge that can be useful for people. It involves important political principles, which deal with human rights and incorporate a participatory world view. The basic principles of PAR are: research done in the community should be planned so that part of it directly benefits the community. It should have a participant and action-oriented role in the community; it should involve the people for whose benefit it is carried out in the process of research; research should incorporate into itself as many as possible of those working locally towards development of that community; the educational and motivational potential of such an engaged research method should be fully utilised for the benefits of all who participate in the research process (Cornwall & Pratt, 2003:196-198; Cornwall, 2002).

Visiting NPHPW on a regular basis, the researcher was able to observe and understand, development activities in the area and listen to people's views, attitudes and feelings from general conversations, since it was possible to share their experiences without influencing their behaviour. Participation research encourages the participation of the people whom it intends to assist. Social change can be achieved through democratic collaboration of social researchers and community members. In this regard, PAR can democratise the research process and it focuses on techniques of particular problems facing communities and attempts to use research and the resulting action as a tool to bring about social change (Bless *et al.*, 2013:90).

In light of the above, for the researcher observation is the process of learning behaviour, where the researcher establishes many sided and long-term relationships with human association in its natural setting, for the purpose of developing a scientific understanding of that association. Observations involve becoming part of a group in order to understand it, by observing, interacting, listening and making notes (May & Perry, 2011:157). As Bless *et al.* (2013:19) suggests, the most evident source of research is making contact with the external world and direct observation of it.

The aim of observation in a social context is to collect information about the world with the intention of guiding behaviour towards production of public knowledge (empirical and theoretical) about specific issues, which can be used by others in a variety of ways. Data from observations can be a useful check to supplement information obtained from other sources (Sapsford & Jupp, 2008:57-59). Observations provide information from spontaneous and unplanned events (Thomas, 2005:63), observations can be useful for obtaining a general understanding of the researcher's initial familiarisation (Rugg & Petre, 2007:113). Through observing participants' reactions from unplanned events, the researcher understood the participants' feelings towards housing development.

In light of the above explanation, the researcher used PAR with the aim of producing practical recommendations to ensure authentic and empowering public participation in housing planning and delivery based on what she observed in NPHPW. In this study, PAR was applied in the researcher's observations, in the local case study setting, in dialogues with recommended individuals, during interviews and general discussions with research participants.

The researcher also used focus groups as Babbie (2010:322-323) states that focus groups are focused on studying people in the process of living their lives and allow the researcher to question several individuals systematically and simultaneously and have advantages that include: flexibility, high face validity, speedy results, low cost, socially oriented and captures real-life data in a social environment. Focus group (Annexure 5) interviews constitute a valuable tool of investigation, allowing researchers to explore group norms and dynamics around issues and topics which they wish to investigate. They can give insight into social relations in general and examination of processes and social dynamics (May, 2001:125). In addition, secondary data in the form of academic books, journals, dissertations, academic papers and newspapers were used.

3.2.3 Population

Population refers to objects, subjects, phenomena, cases, events and activities which the researcher wishes to research in order to establish new knowledge. It refers to a group which possesses specific characteristics and the attributes in which the researcher is interested (Brynard *et al.*, 2016:57; Stuart & Wayne 2009:432). Bless *et al.* (2013:164-173) refers to

population as the set of elements that the researcher focuses upon, and the theoretically specified aggregation of study elements. Welman *et al.* (2010:52) considers population as objects being studied such as individuals, organisations and event.

Since the researcher did not study all relevant circumstances, events or people intensively and in depth, she selected a sample from the population she wished to study (Marshall & Rossman, 2016:105). In this study the population is the residents of the COCT local government who are the beneficiaries of low-cost housing through PHP housing dev59lopement, in a selected case study and the local government officials involved in public participation and housing development in the particular case study.

3.2.4 Sampling

A sample should be representative of the larger group and should include all the elements and characteristics of the population (Brynard *et al.*, 2016:57; Sapsford & Jupp, 2008:27). A sample is a special subset of the population and must have all the properties of the population for it to be representative of the whole (Bless *et al.*, 2013:165). The researcher observed housing planning and delivery in NPHPW which is a subset of Ward 6 – Wallacedene population, in order to make inferences about the nature of the population itself.

A sample is a set of elements selected from a population, with the aim to get consistent and unbiased estimations of the population that is being researched (Sapsford & Jupp, 2008:26; Patten, 2004:51). It is the subset of the whole population that is being researched and whose characteristic will be generalised to the larger population (Bless *et al.*, 2013:172). The researcher will use the findings from NPHPW to generalise for the population of Ward 6.

Purposive sampling – which refers to procedures directed toward obtaining a certain type of element (Dane, 2011:122) was used. This is because only respondents who were accessible and had the necessary information were targeted. Thus, only those people that participated in NPHPW public participation and housing planning and delivery processes were interviewed. Here it is important to note that purposive sampling is based on the judgement of a researcher regarding the characteristics of a representative sample. This sample is chosen on the basis of what the researcher considers to be typical unit (Bless *et al.*, 2013:172; Babbie *et al.*,

2017:166). The researcher purposely selected individuals she believed will forward the best information.

Researchers in qualitative studies tend to use nonprobability samples, as they rarely determine the sample in advance and have limited knowledge about the larger population from which the sample is taken. Qualitative researchers select the cases gradually, with the specific content of a case determining whether it is chosen. Purposive sampling uses the researcher's judgement in selecting cases with a specific purpose in mind. Snowball sampling is used in an interconnected network of people or organisations. The crucial feature is that each unit is connected with another directly or indirectly. This does not mean that each person knows or is influenced by the other person in the network (Neuman, 2000:189-199).

The researcher found snowball sampling, which is a type of purposive sampling, to be effective. Whereby every individual interviewed was asked to recommend other people for interviewing (Babbie, 2010:193). Initially, the process aimed to use knowledge from the community about those with information in particular areas. Snowball sampling is a process intended to identify respondents with characteristics that are required for a study (Edwards & Holland, 2013:6). As stated, the researcher applied a snowball method to engage with respondents and was assisted by the beneficiaries to identify other beneficiaries/participants. The sample consisted of 50 questionnaires to the members of the public of which 48 were returned. Twenty interviews were conducted with municipal officials and members of the public.

The study used interviews as a source of primary data and used a snowball sampling technique to select the households. This technique falls under non-probability sampling because participants are part of the housing development that is taking place in NPHPW and have experiences in public participation in housing planning and delivery. In this study, the researcher's interest was to obtain perceptions about public participation strategies used in the housing development processes in NPHPW.

3.3 Methods of data collection

3.3.1 Primary sources

To achieve the research objectives, the researcher collected data using semi-structured interviews, which were conducted with local government officials involved in public participation and housing development in the case study. Those interviewed were free to expand on the topic focus on particular aspects to relate to their own experiences (Bless *et al.*, 2013:193). To simplify this in practice, Berg (2007) suggests a "basic checklist" to ensure relevant areas of the study are covered and discussions are kept within the identified parameters, hence the researcher used a questionnaire guide. According to Bless *et al.* (2013:193) interviews can be used to gather information that cannot be obtained from direct observations, such as the feelings of the respondents in the case study.

The study literature was supplemented by the interviews. Conducting interviews promote "ownership" of findings (Mouton, 2001:142). The interviews were scheduled for plus-minus10-15 minutes, as Denscombe (2010b:182) advised that it is important to have a set time for an interview, to have an estimate of how much time they can set aside for the interview.

The researcher made observations and notes by hand during the interviews with the permission of the respondents. Denscombe (2010b:182) advised that notes must be kept safe as required by research ethical guidelines.

The researcher interviewed focus groups. The researcher also applied PAR to obtain first-hand information from observations with respondents. Also, questionnaires (Annexure 3) were administered to the residents of NPHPW, which consisted questions, which enabled participants to tell their side of the story and provide information that was relevant to the study.

The researcher administered the questionnaires and explained the purpose of the study to the respondents. Most participants preferred the researcher to read and explain the questions to them and in some instances the researcher had to probe for more information. Research questionnaires and interviews were used as instruments of data collection. Demographic information was collected to compile a brief profile for respondents. More general questions

were intended to get information about public participation in housing development initiatives in the case study.

3.3.2 Secondary sources

Secondary data was used by the researcher to analyse the usefulness of public participation structures during housing development in the case study. Document analysis offered an opportunity to recollect the history of NPHPW and presented an assessment of its progress, reduce the gap in knowledge and lead to new patterns of thinking. This study used written sources, through libraries, web searches, journal articles, textbooks, internet searches, research reports, theses and legislation relating to public participation in housing development in the case study. The researcher endeavoured to mix all the data in an appropriate manner. This approach added quality to the outcome of the study in the researcher's opinion.

Analysis of documents assisted the researcher to understand policies regarding public participation and housing development. Document analysis help to confirm data accuracy from the empirical research (Andrews, Higgins, Andrews & Lalor, 2012:12-26). Existing data from similar topics and situations are used, which is also ideal when time and resources are constrained (Johnston, 2014:619). Unfortunately, secondary data output is not a one-size-fits-all situation, it does not apply to all situations. For instance, what is applicable to the specific situation in NPHPW is not applicable to the rest of the province or country.

3.4 Data presentation and analysis

After data collection the researcher proceeded with data analysis – analysing the collected raw data and represented the findings from the sample of the study. Both the interviews' and questionnaires' responses were presented.

When qualitative data is vigorously analysed, it makes it possible for researchers to uncover, expose and consider the complexities within organisations. These data require continual review to unleash the subconscious mind, thereby allowing the development of new meanings (James *et al.,* 2013:106-107). The researcher tried to conduct the case study as comprehensively as possible, noting research challenges and context-specific realities in the case study.

3.5 Research ethics

According to Bless *et al.* (2013:37) research ethics are designed to ensure that it takes place in accordance with the highest moral standards, and that science does no harm to people or communities, either intentionally or inadvertently. Important ethical guidelines include informed consent, the right to: participate voluntarily, discontinue participation, anonymity or confidentiality and honesty in analysis and publication. According to Babbie *et al.* (2017:520) ethical issues may arise out of a researcher's interaction with environments where there is a potential for a conflict of interests. Brynard *et al.* (2016:94) state that research ethics relate to what is right and wrong when conducting research, what should conform to generally accepted norms and values. Participants must be protected from both physical and psychological harm (Patten 2004:25). Here, Neuman (2000:90) defines ethics as what is or is not legitimate to do or what moral research involves that can be judged as right or wrong.

A researcher has to be ethical in a manner in which the research is conducted while driven by professional integrity. The researcher needs to protect the interests of participants by maintaining sound ethics, as they should not be adversely affected as a consequence of engaging in the research. The researcher needs to take into consideration the rights and interests of participants and others that are directly affected by the research (Denscombe, 2010b:59-63). In this study, the researcher conducted the research in accordance with appropriate code of research ethics as highlighted by the SU Code of Ethics (Annexure 7).

The research took place in a social context and took account of both the moral and legal climate and boundaries of NPHPW. As Denscombe (2010b:60) states that researchers have no status or privileges that put them above the moral and legal conducts that operate for the rest of the society. Therefore, the researcher's investigations cannot contravene the public's ideas about decency and honourable conduct. Although responsibility for ethical conduct of research rests with the researcher, the researcher gained approval from the Research Ethics Committee of SU before embarking on this study. The researcher gave participants the right to participate voluntarily and the right to withdraw at any time, as (Creswell, 2003:64) suggests that the individuals cannot be coerced into participation in a study.

3.6 Chapter summary

This chapter presented the research methodology and design. This would be used to assess participation strategies that are used, as well as offering recommendations to improve public participations.

The researcher has put in a special effort to conduct the research as comprehensively as possible. With regard to this particular chapter, as indicated, the researcher endeavoured to as far as possible interpret the recognised References a social research methodology. The different research methodology ensured a snowball-effect which has led to more comprehensive practical application on the study as well as with regard to the study recommendations.

In Chapter one, the researcher also indicated the limitation of the study. The researcher is of the view that the comprehensive nature of literature review and PAR accommodated some of the mentioned limitations.
Against the contextualization in the previous chapters and the presentation of the research methodology, the next chapter addresses housing development in SA.

CHAPTER FOUR
HOUSING

4.1 Introduction

This chapter provides an overview of housing legislation in SA and housing development initiatives to improve access to housing for the poor and the marginalised particularly in the form of PHP – the case study, as the focus of this study. It highlights the challenges and government initiatives to improve housing. It focuses on the process of housing planning and delivery in NPHPW, aimed at improving the quality of life through housing development in the case study area.

4.2 Housing policy overview

Apartheid has left an unwanted legacy for SA's human settlements. Transformation in housing requires understanding the historical local government role in creating segregation, inequity, and the detrimental effect of apartheid on local government institutions (Department of Provincial and Local Government, 1998). The Group Areas Act (1966) was the main Act which enforced strict segregation of residents and enforced removal of people to own group areas.

Population growth and the movement of people from rural to the urban areas impacts social change in metropolitan areas. At the start of democracy, more than half of Africans lived in urban SA even with the distortions and social engineering of the apartheid system (Picard, 2005:11 in Koma, 2012:105). The increase in population growth coupled with urban immigration puts a strain on local government services such as supplying housing and basic services for the poor.

DLG is regarded as a requirement for strong national democracy. Local government seeking to transform its societies' structure need the development of a practical and effective system. Local government's spatial proximity affords the general public better opportunities to engage officials and work towards good governance that is necessary for successful democratisation and a market-oriented economic policy (Koma, 2012:105). Although a decentralised government system can contribute to local governance, it brings with it a particular challenge.

4.2.1 Reconstruction and Development Programme (RDP) (1994)

In a bid to improve housing in SA a new approach, the RDP (1994) was developed to focus mostly on the people's immediate needs, which aimed at bringing solutions to the basic housing needs for the poor. It also aimed to deliver decent, well located and affordable shelter for all people, and prioritise meeting people's basic needs and social welfare first (RSA, 1994).

The government introduced the RDP (1994) and RDP forums were formed to create positive strategies for public participation and prioritise public needs. In this regard, housing in SA is regarded, among other things as an instrument for the implementation of the RDP - which is the official policy for transformation. Housing development through RDP (1994) was a technique developed and aimed at addressing the people's primary needs. Housing development has been a form of government strategy to alleviate poverty through skills generating and employment. The RDP (1994) highlights programmes such as meeting basic needs of the people which includes housing provision and building the economy as key government strategies to improve people's lives (RSA, 1994).

4.2.2 The Constitution (1996)

The Constitution (1996) states that the government must take reasonable measures, within its available resources, to ensure everyone's right to housing is achieved. It requires local government to perform development role such as: sustainably provide public services, promote development, and encourage public participation in local government matters.

The people's right to access adequate housing should be prioritised (Thwala, 2010:973). The government must support local government to perform its housing development duties. When a local government does not perform its duties, the provincial government can intervene by taking appropriate action, to ensure the performance of such duty in line with the Constitution (1996) (Western Cape Housing Development Act, 1999).

The SA government has been battling with improving service delivery, reducing poverty and unemployment. Local government was established to deal with service delivery challenges (Phago, 2010:43; Muzondo, Barry, Dewar & Whittal, 2004:22). Local government's housing

provision mandate has its framework in the Constitution (1996) and other legislation. The IDP was formulated and based from these legislative frameworks and applied in SA local government with the aim of enhancing service delivery and assist in achieving their developmental mandates. According to Mathebula (2018) in instances where the IDP is implemented effectively, it is able to yield the desired outcomes. The IDP in its implementation stage requires public participation from all stakeholders. SA IDPs are not properly and effectively implemented to deliver services as intended. Therefore, there is a need for local government to take charge and create a culture of management planning in the implementation of the IDP to improve the delivery of services. As, planning without considering how the plans would be coordinated and executed is unlikely to yield the desired outcome (The Presidency, 2010:38).

4.2.3 White Paper on Transforming Public Service Delivery (1997)

This White Paper states that in order to improve service delivery, beneficiaries need to be identified first, and their needs prioritised. Beneficiaries' housing needs and priorities may differ, but they all need to be considered. It is also key to obtain accurate information on beneficiaries needs for housing planning and allocation of resources (RSA, 1997a:16-17).

The researcher argues that this will require the use of "appropriate mix" of public participation strategies that will ensure that the views of all beneficiaries, including those that may potentially be affected, are represented. Efforts must be made to include needs of those who have previously been denied access to services such as housing and those who struggle to raise their views. More than one public participation strategy is necessary, as the effect of these strategies are compounded in the manner in which they are combined by housing officials.

Development can be further improved by ensuring that Batho Pele principles are always practiced. The principles are: consultation, service standards, redress, access, courtesy, information, transparency, and value for money. The Batho Pele principles are all about improving service delivery. It is an approach aimed at getting public servants to stay committed to their work and to find means to enhance service delivery. The approach needs the public's involvement especially with regards to holding the public service accountable for quality of services they provide. It is also about moving public service from an approach that is rules-

bound which hinders delivery, to one that encourages innovative and result-driven methods. Local government has to the creation an enabling environment and ensuring adequate resources for development. Batho Pele is about “belonging, caring, and serving”, it is focused on putting people first and delivering exceptional service to all citizens.

The public should always be consulted on matters that affect them and the service standards they should expect. Government should offer citizens equal access to service and solutions where standards fail to be met. All citizens, without discriminating, need to receive fair treatment, be served courteously, are entitled to complete and accurate information, need to know about how decisions are reached, and the services offered should give value for money.

Public servants need to interact, listen, learn, from those they serve. They need to understand the beneficiaries’ needs, how they want services delivered and get feedback on areas of dissatisfaction, make the necessary changes and take steps to improve services to all. Government departments need to have service standards which guide service delivery quality and standards. When people fail to get services, they have a right to redress.

Every citizen is entitled to equality especially persons with a disability, illiterate and those from rural areas as they may find it challenging to access some services. Public servants should not become obstacles, they are employed to give the public the assistance entitled to them. Citizens need full disclosure and must be given full info concerning the services they need. Public service should be transparent. It is the right of people to access services and understand how the different departments work, as well as who is in charge and what the plans and budgets are. Public servants should safeguard the scarce resources offered by the government, so they can always deliver services that are cost-effective and efficient (Human settlement, 2019).

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4.2.4 National Housing Act (1997)

This act allows for the establishment of an effective housing development process. It specifies the relevant housing development in different government spheres and defines the functions of each sphere of government in respect of housing development. Which places more focus on people's rights to adequate housing (RSA, 1997b).

The government must determine the national policy, norms and standards, in respect of housing development. It needs to set national housing delivery goals and facilitate the setting of

provincial and local government housing delivery goals. It needs to monitor the performance of national, provincial and local governments against housing delivery goals and budgetary goals and determine a procurement policy in relation to housing development. It needs to assist provinces to develop the administrative capacity required for the effective exercise of their powers and performance of their duties in respect of housing development, support and strengthen the capacity of local government to manage its own and perform their duties. The government need to promote public participation in housing development between the national, provincial and local governments, and promote effective communication in respect of housing development. The government need to obtain funds for land acquisition, infrastructure development, housing provision and evaluate the performance of the housing sector against set goals. The national government need take any steps reasonably necessary to create an environment conducive to enabling provincial and local governments, the private sector, communities and individuals to achieve their respective goals in respect of housing development (RSA, 1997b).

The National Housing Code that contains the national housing policy, including administrative and procedural guidelines in respect of the effective implementation and application of the housing policy must be published to every provincial and local government. Each local government must do everything in its power to promote and facilitate the provision of adequate housing within the framework of national housing policy. Every provincial government must determine provincial policy in respect of housing development, promote the adoption of provincial legislation and co-ordinate housing development to ensure effective delivery. The national government must take the necessary steps to support local governments in the exercise of their powers and the performance of their housing duties and when a municipality does not perform duties imposed by national housing Act, intervene to ensure the performance of such duty (RSA, 1997b).

Every local government must, as part of the municipality's process of integrated development planning, take all reasonable and necessary steps within the framework of national and provincial housing legislation and policy to ensure that the inhabitants of its area of jurisdiction have access to adequate housing on a progressive basis. It needs to set housing delivery goals in respect of its area of jurisdiction; identify and designate land for housing development; create and maintain a public environment conducive to housing development which is financially and

socially viable; initiate plan, co-ordinate, facilitate, promote and enable appropriate housing development in its area of jurisdiction; facilitating and supporting the public participation of other role players in the housing development process (RSA, 1997b).

4.2.5 White Paper on Local Government (1998)

The above Act was followed by the White Paper on Local Government (1998) which was intended to ensure local government makes an important impact on reconstruction and development. This is achieved by ensuring that local government interacts and works closely with beneficiaries towards providing services that are essential to people's wellbeing. Local government is trusted to ensure that development takes place in a way that improves public participation and accountability. It is also the Act which makes a strong argument to locate public participation within a DLG regime (RSA, 1998c).

The White Paper on Local Government (1998) and Van Donk *et al.* (2008) state that DLG is dedicated to working with its people and community groups to find sustainable ways to meet their common, financial needs to improve their lives. Davids and Theron (2014:115) state that authentic and empowering public participation is essential for DLG in SA as is the case with IDP, the vehicle which is supposed to manifest public participation.

4.2.6 Municipal Structures Act (1998)

This Act requires local government to develop strategies to promote authentic and empowering public participation. Local governments need to review public needs and priorities and delivery systems regularly, and work towards meeting those needs. According to Cirolia, Gorgens, Van Donk, Smit & Drimie, (2016:199) local authorities need to include community organisations and representatives in public participation and municipal matter and to have due regard for public views.

As argued, this Act requires local governments to establish Ward Committees to improve participatory democracy at local government. As a structure closest to grassroots, their role is to ensure that grassroots participate in decision-making and be part of the processes that affect them. Ward Committees should reach all areas in the ward to communicate development plans

and progress. They should keep citizens "informed" using an "appropriate mix" of public participation strategies. Ward Committees and Councillors need to be the go-between the public and the local government, provide communities with spaces to express their views and act as strategic mobilizing agents for both, in housing planning and delivery. Ward Committees need to have a good understanding of available resources such as finance, expertise, and skills in order to identify and utilize them and provide support to beneficiaries in housing planning and delivery (RSA, 1998b).

4.2.7 Municipal Systems Act (MSA) (2000)

MSA (2000) requires a local government council to develop public participation strategies. MSA (2000) and Municipal Amendment Bill (2010) focus on meeting the social and economic needs of citizens. It also requires local government to establish processes to enable the public to participate in local government matters. Local government has the duty to encourage participation of beneficiaries and consult local communities about: service delivery options; quality and impact of services provided. Although SA government uses a multifaceted form of public participation strategies, the practical application of public participation itself remains a problem (Public Service Commission, 2010:10).

Based on RDP principles the White Paper on Local Government (1998), Municipal Systems Act (2000), and Municipal Structures Act (1998) intend to ensure that local government makes an important impact on reconstruction and development. This is ideally to be achieved by ensuring that local government interacts and participates closely with beneficiaries and is responsible for services that are essential for people's well-being (RSA, 1998c). These Acts theoretically construct the foundation for a public participation regime at local government in SA. The government also introduced the NDP as SA's long-term socio-economic development roadmap, which aims to eliminate poverty and reduce inequality in SA by 2030. It also identifies strategies to be followed to achieve a more inclusive economy (RSA, 2013:115). According to Gilbert (1996:33) that can be achieved through collaboration with various government departments with the support of the public that they serve.

In light of the above, in order for people to ensure a decent quality of life, housing development is necessary (Gwala & Theron, 2012). The goal of development is to transform the lives of the

poor incrementally while allowing them to learn through experience and contribute through authentic and empowering public participation to improve their lives. Participants must then be capacitated to move to a point where they will see themselves as capable of doing something about their position, as their norms and values influence their perceptions (Swanepoel & De Beer, 2016:54-62). As Theron and Mchunu (2016:1-26) explain, through development local beneficiaries should collaborate and co-produce plans (for housing) which consider local contexts. It is in this regard that a public participation planning partnership (P4) needs to be established between housing stakeholders and the local housing delivery process.

Goldblatt (2014:21-26) states that apartheid laws left townships with very poor infrastructure that is characterised by inadequate and poor services. Local government should work on improving social and economic development by prioritising DLG and sound IDP's. This remains a major challenge in SA.

Statistics SA's general household survey released in May 2019, indicates that households that received government housing subsidies "*increased from 5,6% in 2002 to 13,6% in 2018. A higher percentage of female-headed households (17,4%) than male-headed households (11,0%) received subsidies. This is in line with government policies that give preference to households headed by individuals from vulnerable groups, including females, and individuals with disabilities"* (Stats SA, 2018:35).

SA public policy emphasizes the need for public participation in decision-making which is regarded as having the ability to improve the quality and acceptability of decisions. The basic assumption seems to be that greater public participation in decision-making processes will lead to more socially acceptable and sustainable outcomes (Pacione, 2013:31). Khan and Cranko (2002:262-275) suggest that sustainable housing development at local government in SA can be achieved if municipalities create local government-community planning partnerships, that can be used to empower the public to *influence, direct, control* and *own* their own development.

SA has a high number of unemployed people that are not able to build themselves decent houses. One of the socio-economic imbalances created by apartheid was housing. The housing problem derived from complicated bureaucracy, financial, institutional, and administrative frameworks. The government developed an RDP programme in order to address housing

challenges, with one of its aims to provide low-cost housing. Through it, SA established an inclusive affordable housing policy its citizens. The programme was developed to create an environment that enables government to fulfil its Constitutional (1996) mandate of people-centred housing provision (RSA, 1996).

As the researcher has argued previously the RDP (1994) created the necessary conditions for housing development. Development programmes/projects cannot be regarded as people-centred when the beneficiaries are not taken seriously (Nanz & Dalferth, 2010). This may lead to beneficiaries regarding themselves as spectators in their development. This discourages beneficiaries from a feeling of ownership and community-building of the project meant for them (Jacobs, 2011:43; Pypers & Bassuday, 2016).

Government should prioritise public developmental programmes/projects by encouraging and supporting initiatives that emerge from communities which aim to empower the public to *influence, drive, control* and *own* their development. In order to realise the functionality of the people-centred approach in low-cost housing programmes/projects, these need to be converted into reality and government needs to actively provide support for relevant processes (RSA, 1994).

Khan and Ambert (2003:v) state that before democracy in SA, the poor did not have right to property, which lead into service boycotts by the public which tested the State political legitimacy. They argue that the current housing policy is influenced by the pre-democracy era.

In light of the above, Khoza (2010:5) states social mechanisms such as public participation in housing development have been overlooked to the detriment of the poor, as they are viewed as "passive consumers" who are not able to take control of their lives and their housing needs. Lack of access to the most basic municipal services including housing, add to development challenges with which SA is faced (Pillay, Tomlinson, & du Toit, 2006:1).

4.3 Housing development in SA

Housing delivery remains one of the most pressing infrastructure deficiencies in SA. This is worsened growing urbanization, resulting in rapid growth of unauthorized settlements and

overcrowding (Ross, Bowen, & Lincoln, 2010:433). Adequate housing is important to personal dignity, social and psychological well-being, poverty reduction, gender equality, economic development, environmental sustainability and to achieve a sustainable human settlement (Tissington, 2011:68).

Appropriate roles need to be identified for government and other relevant stakeholders in realising the Constitutional (1996) right to housing and development, in ways that support and facilitate human development, such as improving income through job creation.

Government housing policies have utilised self-help approaches such as PHPs to provide low-cost housing. According to the Department of Housing Annual Report (2006:4-5) these policies work towards a holistic social change where a resolution needs long-term partnerships with various departments with focus on sustainability and economic development (RSA, 2006a). This engagement requires for development policy to also address social justice matters (Dixon & Ramutsindela, 2006:131). "*South African housing policy, however, combines indirect rhetoric addressing the causes of informal settlement formation and entrenched inequality with the direct approach of informal settlement eradication*" (Huchzermeyer, 2010:132). These need to be included in the broader urban planning in order to promote pro poor agendas, economic growth, holistic development and reduce inequality (Lemanski, 2007:450-451).

On average, the Western Cape is more urbanised compared to the rest of the country. Population growth has added to the challenge of informal settlements, exceeding the COCT's ability to provide basic services and housing (Huchzermeyer, 2010:64-5; Shortt & Hammett, 2013:2-3). However, the COCT states that it remains focused and dedicated to providing housing for the poor by providing funds for low cost housing. According to Cape Town Mayor Dan Plato and Human Settlements Mayco member Malusi Booi, "*more than R2 billion has been budgeted for the development of new housing opportunities*" with R590 million planned for 2019. The COCT has promised to spend some R4 billion in the near future for housing development and providing other basic services. COCT's housing has revealed plans its plans, as the housing backlog in the COCT reached 575 000 and keeps rising, according to Plato. A significant amount of the budget has been kept for social housing in the Central Business District (CBD). Mr Booi said the COCT was devoted to building combined communities.

Moreover, he added that the metro was looking at city-owned land to determine if this land could be developed for mixed housing and integrate communities (Regter, 2019).

During the budget speech on 26 March 2019 delivered by Human Settlements MEC Bonginkosi Madikizela, he indicated that the COCT is doing its best to provide housing for all and that since 2009, almost 213,000 housing opportunities were created.

Mr Madikizela said they are aware that local governments sometimes do not give housing opportunities according to the housing demand database. Housing need to be allocated according to the demand database and also, the most vulnerable beneficiaries need to be prioritised. He emphasised the importance for local governments to align their plans with housing needs. A decision to start a housing project should be informed by a need to priorities housing beneficiaries of a particular area because they are a priority, not just because they qualify. Also, there are those who deserve to be prioritised because they've been waiting for housing for very long (Gontsana, 2018).

The Western Cape Government has not been using its full housing grant, although the province faces many housing challenges. The National Department of Housing stated that the COCT has for many years not utilised all the budget allocated for housing development. The COCT is faced with regular housing delivery protests. These persistent housing protests do not instil a "sense of trust" among the grassroots with regard to local governments' political will and ability to deliver a DLG. DLG pillars advocate for a people-centred development approach. Protest action is seen as coming from the absence of trust between beneficiaries and authorities. According to Theron and Mchunu (2016:174) protest is used as a strategy to increase the impact of the grassroots on decisions taken. Van Donk, Swilling, Pieterse and Parnell (2008:152) contends that the rise in protests action is essential in participatory local democracy and is a way of democratic expression imagined in the Municipal Systems Act (2000). When the grassroots embark on a protest action, they are exercising their democratic right against a local government that they perceive to be unaccountable and unresponsive to them. The inability of local government to deliver services is evident in the growing number of violent protests that threaten to derail the achievements of DLG and to reverse democratic gains achieved since democracy (Theron & Mchunu, 2016:174). The researcher argues that people resort to protests because they do not *influence, direct, control and own* their development. As a result, they are

not satisfied with the outcomes of those development initiatives. Particularly housing protest as the beneficiaries do not feel a sense of ownership with regard to housing planning and delivery in which they did not participate.

The COCT has been assigned more than half of the Western Cape's housing budget. That money can be used for housing development initiatives such as PHPs, similar to the one the researcher used as a case study NPHPW. Moreover, as stated by IAP2 (2000), for housing planning and delivery to be successful the beneficiaries need to *influence, direct, control* and *own* their development programmes/projects. However, budget allocated under the Urban Settlement Development Grant (USDG) has not been all used. In 2017-18, R150 million was rolled over. The spokesperson for Human Settlements Minister Lindiwe Sisulu, Vusi Tshose, said: there was concern with COCT's failure, which takes the bulk of the provincial budget, to spend its USDG since its introduction. The COCT keeps asking for roll-overs as it continues to fail to use 100% of its USDG (Tshose, 2019). The grant was made available for housing development in urban areas. Brett Herron (2018), previous mayoral committee member for transport and urban development, stated in 2018 that the restrictive conditions set by the government on the use of grants limit the way housing opportunities are delivered.

The Western Cape housing backlog is currently (2019) 575 000, is estimated to take about 27 years to address, with the Human Settlements Department stating that it can only provide 18,000 houses in 2019. Ntomboxolo Makoba-Somdaka, the spokesperson for Human Settlements MEC Bonginkosi Madikizela, said: "the current budget of R2.5bn is only enough to assist 18 000 families. About R80bn is needed to assist the current backlog" (Philander & Tswanya, 2019). Meanwhile, in April 2019 the African National Congress (ANC) accused the Democratic Alliance (DA), which governs the Western Cape Province, of returning more that R2 billion of the USDG to the National Department of Housing that was meant for housing development in the province, said ANC provincial spokesperson Dennis Cruywagen. This grant is for housing development and the provision of services. Over a period of eight years, the DA failed to use a total of R2.159 billion. The R2.7 billion human settlements budget for 2019/20-year end could ensure the realisation of 25000 housing opportunities (Sokanyile, 2019).

Against the above, the study assessed the impact of public participation strategies in a housing development project in a settlement in Wallacedene. Public participation in housing delivery is a fundamental right, yet officials have been deciding on behalf of the public, in implementing policies. According to Tapscott, Williams and Herman (2012:3) the poor are left out in policy formulation. The study investigated challenges that the COCT faces in terms of housing delivery to the community of Wallacedene and their participation in housing planning and delivery processes.

The Constitution (1996) encourages the advancement of a democratic system of governance that focuses on the interests of the people and promote public participation in the design and delivery of municipal programmes/projects. Thus, the Western Cape Housing Department need to inspire public participation, accessibility, accountability and inclusiveness towards ensuring good governance, a DLG, a committed IDP and roll-out of housing at grassroots. Similarly, it should be realised that the Local Government Transition Act (1993) encourages the development of new local governmental systems that are aimed at working with the public, and community groups to create sustainable human settlements which offer for a decent quality of life in a holistic way. This is also confirmed by the White Paper on Local Government (1998) which prioritises the principle of a DLG and public participation.

Following the above, this study looked at how public participation strategies are employed in housing development in Wallacedene, as this is one of the areas that benefits from low-cost housing. The study aimed to determine the level of public participation in housing development programmes/projects in the area. The Municipal Systems Act (2000) states that public participation in local government structures would transform local governance. In this regard, to ensure a DLG approach, Theron and Mchunu's (2016:1-26; 115-147) building blocks of development will be used as a theoretical construct. These building blocks are: public participation, social learning, capacity building, empowerment, leading to sustainable development.

The South African government sets out a radical vision of democratic transition, placing grassroots beneficiaries at the centre of service delivery and development meant for them. This can be done by opening up "participatory arenas" and a developmental mandate for local authorities. Grassroots participation is important for development to be inviting, empowering

and sustainable. The DLG functions are in addition to local government's service delivery role. This radical democratic vision is promoted in various legislation that emphasise a need for grassroots beneficiaries to participate meaningfully in development interventions that are meant for them. The notion of DLG promises to break away from the past and bring about the ideal radical social transformation. As emphasised in the White Paper on Local Government (1998), the importance of working together with municipal officials, the public and community groups in order to meet the public needs and improve their lives.

Public interests should be considered in planning and delivery of services in order to ensure that development initiatives are based on people's actual needs. This is a key point of departure of the White Paper on Local Government (1998) (RSA, 1998: ix). According to Mofolo (2016:231), even after more than two decades of democracy, public participation still needs to be improved as the ability of grassroots (development) beneficiaries to *influence, direct, control* and *own* their own development is often not prioritised in SA.

In identifying the reasons for poor service delivery, challenges such failure to include the public in decision-making, lack of accountability and poor public participation, are top of the list of challenges towards reaching DLG and progressive IDP at grassroots (Mofolo, 2016:231). Hence, it becomes necessary to identify an "appropriate mix" of strategies for engaging local beneficiaries in service delivery such as housing planning and delivery in the COCT. If such strategies do not reflect local meaning-giving context and realities, are poorly prioritised and implemented, service delivery protests in the country will continue to rise, a focus-point of Mchunu's (2012) (Theron & Mchunu, 2016:61-63; Thompson, 2014:340).

4.3.1 Role of government in housing development

The researcher departed with the notion that the Constitution (1996) entrenches the basic right to housing for all citizens. According to Tonkin (2008:34), these provisions correspond with the international promise on economic, social and cultural rights, which describe suitable housing as being 'habitable' in terms of the SA government's commitment to the habitat agenda. The PSC (2003:6) states that there is need to equitably and sustainably improve living and working conditions to ensure adequate and safe shelter with basic services for everyone. The Constitution (1996) states that the government has the responsibility to take reasonable

measures to achieve the progressive realisation of this right. According to Ratshitanga (2017:64) the obligation to ensure that this happens is placed on the State and has compelled the South African government to introduce legislation, policies, guidelines and legal instruments to adhere to these rights of its citizenry.

In the Housing Act (1997) it is stated that every local government, as part of its IDP, should take all sensible measures, to ensure that access to adequate housing is realized on a progressive basis. Every municipality needs to set housing distribution goals in its area of control, safeguard its services and ensure they are provided in a way that is economically efficient. Municipalities need to identify and designate land for housing development, create and uphold an environment favourable to housing development which is financially and socially viable (RSA, 1997).

The lack of clear housing policy guidelines can contribute to confusion amongst local government authorities and other stakeholders that need clear participatory guidelines in order for development to run smoothly (Hart, 1995:24-26). A clear housing policy helps the public to make choices in terms of course of action based on acceptable societal values followed (Organization for Economic Co-operation and Development, 2009).

A provincial Minister must ensure there is a provincial policy to co-ordinate and execute provincial housing development and issue practical directives in order to deal with housing effectively (Western Cape Housing Development Act, 1999). The New Housing Policy and Strategy for SA (1994) states that the role of provincial government is to determine its housing policy within the national guidelines and plans (RSA, 1994b).

The government encourages IDPs for the improvement of service delivery, which must be recognised as one of the crucial tools for effective local government. Legislation such as the Development Facilitation Act (1995), the Local Government Transition Second Amendment Act (1996), which identify that IDPs are central to achieving the objectives of the Municipal Systems Bill (RSA, 2010).

Local government structures are required to be accountable and ensure the provision of services to its public. According to Zonke (2015:53-54) it should promote development and encourage public participation in matters of local government.

4.3.2 Housing development through public participation

As previously argued by the researcher, the RDP (1994) laid an important foundation for the provision of housing and other public services that SA needed. It was passed to give positive effect to the delivery pace and reforms of the public housing policy. In addition, the Housing Act (1997) was promulgated as the means of developing public housing and other related services. Also, the White Paper on Local Government (1998) added an emphasis on public participation and housing development. Without public participation, the government cannot successfully achieve the goal of housing provision to the poor.

The argument is that, the public should actively participate in the deliberations between government and other stakeholders. Democratic local government structures with strong public participation are fundamental to enhanced service delivery. Housing delivery has been challenging as a result of lack of adequate public participation.

Authentic and empowering public participation is key to building empowered communities. For empowerment to occur, supportive environment, people's skills and aspirations need to be nurtured. Public participation is important in all aspects of strategic planning development and implementation in empowerment programs. Public participation is critical to community success and sustainability. It is needed for stakeholders to influence development by contributing to project design, influencing public policies and choices, and holding public institutions accountable for the services they provide (World Bank, 1996).

Public participation is the direct engagement of affected populations in the project cycle, assessment, design, implementation, monitoring and evaluation in a variety of forms. It is also an operating philosophy that puts affected populations at the heart of development activities as social actors with insights and competencies. Through public participation, communities can play a variety of roles in the provision and management of housing planning and development. Public participation helps to bring different stakeholders together for problem solving and decision making. Public participation is necessary to get public support for housing planning and development, as it plays an essential role in promoting good quality of life. Public participation in housing processes can support and uphold local culture, traditions, knowledge, skills, and create pride in community heritage. As a key concept for development, public

participation is a process that empowers people to take part in housing development. Empowering public participation is a means to achieve development in order to resolve the housing problem that is a major challenge to the majority of the world especially to the developing nations (Aigbayboa, 2011).

barriers that can be faced include: stakeholders forgoing genuine participation, due to political and social pressures to show that the development process is advancing; lack of support by the community for the development project because of limited involvement of the community, particularly the affected community, in planning and design; failing to understand the complexity of public participation and believing that the community is a united, organised body; disregarding how the community is already structured when introducing participatory activities and underestimation of the time and cost of genuine participatory processes amongst others. However, one other paramount barrier to participation is the lack of feedback to the concerned community, too often, communities never find out what difference their efforts have made in the development process (Davy, 2006). Where people don't know what impact they have made, they are unlikely to feel that they have been treated as partners in a programme/project (Williams, 2008:44).

In addition to identifying the importance of public participation, it is equally important to recognize its challenges. An understanding of the barriers can help the community and others who lead organisation more effectively impact the housing development policy-making process. Overcoming the barriers to housing development will serve to facilitate the policy making process and thus the overall citizen's meaningful participation in the housing development process. In order to promote public participation in housing development, it is necessary to always assess the communities' capacity to carry out what they are expected to achieve in a long-term. Public participation is a goal in housing development informed by the government to the disadvantage group, as an avenue to solve complicated issues contributing to poor housing development and the promotion of empowerment to the public. Citizens will voluntarily participate in housing development when they see positive benefits to be gained, and have an appropriate organizational structure available to them for expressing their interests (Aigbayboa, 2011).

4.3.3 Housing initiatives

Since 1994, provisions have been made regarding housing policies and programmes for affordable human settlement with the aim to improve broader macro-economic restructuring. There are many challenges even with seemingly progressive housing legislation and significant State interventions across SA to reach acceptable social standards. Prior to the announcement of the BNG housing policy, there was no specific national policy housing development initiative such as informal settlement management and upgrading. Local governments were only involved in the housing provisions at the implementation level and had little input in policy formulation. According to the Human Settlement Strategic Plan (2012:34) the national housing programme failed to keep up with informal settlement growth. The attitude of the COCT towards informal settlements changed noticeably after the Grootboom judgement in 2000, where the responsibility for addressing the immediate needs of informal residents living in desperate conditions fell on all spheres of government including the COCT (Huchzermeyer & Karam, 2016:232).

According to Burgoyne (2008:6) the rate of housing planning and delivery could be influenced by urbanisation, migration, and financial constraints. Housing dev83lopement and settlement upgrading programmes/projects can only be implemented successfully if they are viewed as an ongoing social process, which seeks to improve access to resources and economic opportunities, provide social facilities and resource sharing, offer a range of affordable housing options, provide for assistance in the self-help and provide opportunities for continuous public participation (Buckley & Kalarickal, 2007:43). Different approaches to housing development can be used such as: housing projects that are initiated, planned, built and managed by community-based organisations that involve beneficiaries in all stages of the process, with local government and specialist consultants assisting in managing the development process (Sowman & Urquhart, 1998:4-6). According to Swilling (2010:251) housing development can take place through government policies that enable a choice for alternative forms of tenure. For a housing development to be successful it has to be an inclusive process (Cornwall & Pratt, 2003:5).

Housing delivery in SA embraces the notion of integrated delivery aimed at promoting the process of social, economic and physical integration. Local authorities must prepare the IDPs

in line with the municipal demarcations to provide a framework for integrated housing programmes (Harrison, Huchzermeyer & Mayekiso, 2003:265). The policies and programmes need to commit the government to improve people-centred housing processes that prioritise the needs of the poor and the delivery of a quality housing with access to public services (Khan, 2008); Khan, 2010:35).

SA local government has a clear mandate to include public participation in all aspects of housing development. In SA public participation processes engaged in by municipalities are usually initiated and defined by the government, with State led efforts and platforms such as Ward Committees or participation around specific issues (Cirolia *et al.*, 2016:96).

Different approaches to housing development can be used such as: housing projects that are initiated, planned, built and managed by community-based organisations. Housing development projects may be initiated and managed by provincial housing development boards but implemented by local authorities using local contractors.

Housing development can also take on the form of social housing. Government policy facilitated the emergence of social housing delivery mechanism that enables a choice for alternative forms of tenure. Government make subsidies available to accredited housing institutions to improve housing development. Housing development may also take other forms including a PHP which is the focus of the study.

4.3.3.1 The People's Housing Process (PHP)

The PHP is an official self-help housing mechanism which allows beneficiaries to work together to pool their resources, contribute their labour, make choices and exercise control over their housing process. Thus, the beneficiaries can *influence, direct, control* and *own* their housing development. This could ensure maximum subsidy outputs are achieved as housing is developed through inclusion in the human settlement development process (BNG, 2004:18). In PHP houses are built by beneficiaries with assistance from local government in acquiring land and materials, while others are built by local contractors trained for the community under the PHP (RSA, 2013:28).

PHPs were implemented through Housing Support Centres, NGOs and State initiatives, which aimed and stressed the obligation of these organisations to comply with technical requirements, and capacity (RSA, 2000a). Technically sound house became so crucial that the government focussed on it more and determined by the State not by beneficiaries (Marais, Sefika, Venter & Cloete, 2014:57).

SA government launched PHP programmes to improve access to affordable housing and support self-help among the poor. It also aimed to address the housing subsidy schemes' shortcomings such as the low-income households who are unable to access housing loans through private financial institutions. PHPs facilitate incremental housing by scaling up participatory processes and relying on self-help processes, community resources and empowerment (RSA, 1997:55). PHPs need to liaise with grassroots groups to strengthen community initiatives, stimulate and assist community and self-efforts by sharing information, identifying and channelling subsidies, developing co-operative arrangements to purchase material, build capacity and provide support to local government (Jenkins, 1999:435).

PHP is a State assisted, self-help housing programme which aims to support people organise their own housing construction. With PHPs the government provides the land, infrastructure, services and subsidies and the households control resources and build the dwelling. A PHP programme is a formal component of the national housing programme where people plan, design and build their homes. Support for PHPs can be improved by building relationships between government and civil society organisations, increasing monitoring, instituting simple and systematic management systems and reforming existing mechanisms for housing delivery at provincial and local government levels (Khan & Thring, 2003:295). All PHP groups in NPHPW are responsible for the recruitment of their members and therefore utilise the list from the consultants hired by the COCT to formalise their business plans. Thereafter each group begin the construction of the residential houses on the number of sites allocated to them (The State of the Cities Report, 2011).

People who qualify for a PHP, group together to apply for facilitation grants from the province. The grant is for helping the community – with or without the assistance of an NGO or local authority – to form a support organisation that has community representation. If the provincial and local authority approve, then the housing support initiative begins. The delivery of PHPs

is measured in terms of the number of workshops held, the number of information exchanges that take place, the number of local authorities in which the capacity has been built, the number of people employed and the number of people contributing (Khan & Thring, 2003:328-329).

Sustainability and inclusivity of PHPs for the marginalised can be maintained by moving away from a project-based approach to holistic urban development programmes. Appropriate strategies need to be developed to address the mechanics of institutionalised exclusion. Effective supportive policy responses should be developed in consideration with informal economies of survival and their relationship to formal systems. There is a need for a sensitive community profiling and ongoing community assessment to understand the complexity and dynamic role that each community plays, particularly through feedback from residents. Understanding community needs first is crucial. Changes in government attitudes at all levels are necessary – the government needs to move from *controlling* the housing development to *facilitating* the process. An institutional and financial approach that satisfies the broader community needs is required. In order to build communities as well as houses, the subsidy needs to be more settlement focused, flexible, available and coordinated to ensure the provision of public facilities (Khan & Thring, 2003:297-298). The public sector needs to have policies to regulate financial management processes in order to attract private investment (Amado, 2018:24).

The PHP was identified as one of the seven strategies of the White Paper on Housing (1994), but only officially launched as a programme in 1998. In spite of the PHP programmes/projects and other initiatives aimed at promoting aided self-help housing, there has not been a large uptake in numerical terms. This raises questions such as: is self-help housing appropriate or relevant in post-apartheid SA, or is the process too difficult to implement and manage? Or are there other options for low-income households that are more viable and sustainable, including unaided self-help (Landman & Napier, 2010:299-300).

The Department of Human Settlements (DHS), in collaboration with provinces and municipalities determines national policy and standards for housing and human settlements development; sets national housing delivery goals, and monitors the performance of provinces and municipalities against the set goals. In executing these roles and responsibilities, it also builds capacity for provinces and municipalities, and promotes consultation with all

stakeholders in housing development, including civil society and the private sector. The DHS is working towards transforming human settlements and the spatial economy to create functionally integrated, balanced urban settlements by (RSA, 2019).

The DHS's ongoing policy review seeks to reinforce the shift from housing to human settlements, as envisaged in the BNG strategy and the NDP. The emphasis is on creating integrated, mixed-use, mixed-income developments that support densification and provide access to housing, social and economic amenities. Increasing access to and delivering adequate housing and services in high quality living environments, providing affordable rental housing and state-subsidised units to the bottom-most end of the housing market In 2015/16 the government has also established Government Employees Housing Scheme (GEHS) with the objective to support, create opportunities, financing, enhance employees' access and promote home ownership among employees, assist employees to rent houses and own homes and provide transitional arrangement (RSA, 2019).

Development Action Group (DAG's) strategic goal is to demonstrate how working in partnership with beneficiaries and other stakeholders who share a pro-poor agenda can lead to creative and sustainable solutions that redress housing, social, economic and spatial inequalities. DAG understands beneficiary-driven housing as an approach to housing development in which the beneficiaries control the process and are the key decision-makers at every stage of development. It also provides support to citizens on design, planning, regulations and finance for development. DAG contends that a well-planned and implemented beneficiary-driven housing approach is beneficial and preferable because apart from improving shelter it achieves a range of social and economic development outcomes which include fostering self-reliance and social capital. DAG also recognises private rental industry as important for delivering well managed affordable housing in Cape Town (DAG, 2019).

When the post-apartheid government inherited a housing crisis in 1994, self-help housing gained prominence as a solution. Due to high levels of poverty, fiscal constraints and economic challenges, it was not possible to provide houses to all those in need. Despite some initial reservations by the government, self-help housing as an approach, has continued to be actively promoted by many donor organisations and NGOs in SA (Landman & Napier, 2010:300).

4.3.3.2 Benefits of PHP

Housing pressure led to the creation and support of PHPs in which communities need to be developed rather than just building houses. Housing planning and delivery need to be incorporated in municipal IDP processes and aligned with local government planning and development (RSA, 2008:4; RSA, 2009).

Khan and Pieterse (2004:19) state that as one component of the national housing programme, PHPs facilitate housing development by calling on public participation processes and relying on self-help processes, public resources, empowerment and also liaising with grassroots groupings to strengthen community initiatives.

Through PHPs beneficiaries receive larger and better designed houses that suit their household needs, with greater diversity of purpose-made housing and more choice, creativity, public participation and allow for greater innovation and initiative. They help build the notion of citizenship and pride and support the creation of P4. They promote individual choice, secures tenure, adequate shelter, and maximise empowerment and public participation. They help create opportunities for women in housing and skills development, with higher levels of beneficiary satisfaction and programme/project sustainability (Himlin & Mogatle, 2006; Harrison, 2008). When people are willing and able to directly participate in building their own homes and are afforded a real choice based on accurate information, the outcome of such a process will have many benefits that go beyond merely building a house (Khan & Thring, 2003:332).

The DAG) promotes self-help housing specifically the PHP, as it also builds human capacity and brings communities closer together (DAG website, 2018). Due to benefits associated with PHPs, housing authorities promote the increased use of PHPs, as they provide beneficiaries with a greater choice over the use of subsidy. This leads to increased beneficiary input, enhanced beneficiary participation and acceptable housing outcomes. Thus, PHP attains its main goals of achieving more for less and improved beneficiary commitment to housing outcomes by increased productivity through ‘intellectual equity’ (Khan, 2010:8).

Self-help housing can be used as a tool for State engineering and control, although within the SA context social justice motivates the government. Successes can be achieved through PHPs, as they allow for maximum beneficiary participation and control, resulting in better-quality housing (Khan & Pieterse, 2004:18). The higher degree of beneficiary participation, commitment and self-organisation reduces the burden on local government to provide and manage these projects.

Public participation was crucial in establishing PHPs. It is within this community realm that the process P4 was initiated, though it must be noted that it was through considerable pressure from community-based groups that the government adopted this participatory programme. As the government remained guided by the private-sector financing and delivery for housing, it struggled to deliver housing on a large scale. A lot of different factors contribute to SA housing challenges. One underlying issue in self-help housing provision is that it is owned by the government rather than the beneficiaries. Beneficiaries are guided by the government officials and rules set by the government on how funds and other resources should be used.

Civil organisations can also partner through P4 with communities through support organisations and align themselves with local government goals. Local authority's view of self-help programmes/projects depends on the presence/absence of the political will to support it. The most important factor of a PHP success is where local authorities have institutionalised the process by building capacity at local level to support the process. The local authorities need to have an explicit policy to support the process for people-driven housing projects to succeed (Khan & Thring, 2003:343). Civil society such as Ward Committees assist especially where the state fails to delivery minimum standards of life to its people (Cornwall & Eade, 2011:181; Cornwall, 2011:49).

4.4 Housing challenges

The housing crisis indicates that a large number of people are unable to access adequate housing. The housing challenges, inter alia, stem from poor resource allocation to housing and poor capacity and skills shortages in local government (Tonkin, 2008:32).

All aspects of democracy in SA emphasise public participation through participatory governance - a key characteristic of the transformed political landscape (Thompson, 2014:335). According to Govender and Penceliah (2011:14) lack of improvement in service delivery is as a result of local government's poor performance, which leads to an increase in civil unrests as reported by regular media and government reports, and in previous linkages in the text.

Limited financial resources, capacity, technical competence and limited efforts to address the backlog in affordable and decent accommodation for the majority of the people in the COCT are some of the challenges facing sustainable housing development. According to Swilling (2010:259) the lack of forward planning aimed at achieving clear developmental goals for the COCT are some of the main contributing factors to the lack of sustainable housing development.

Affordability: is not only about being able to afford to buy or rent a house, but also being able to afford to live in it. This goes beyond meeting expenses related to operations and maintenance. it also involves considerations of transport, infrastructure and services. If a house is cheap enough to buy and run but located far from livelihood opportunities or amenities such as schools, employment, it cannot be regarded as affordable. Affordable housing supply does not meet the demand, housing costs rising disproportionately to household income, scarcity of land, household size, population growth including in-migration, high costs of energy relative to low income for affordable housing all contribute to housing affordability (Menon, Hodkinson, Galal, Reckford & Charles, 2019:8).

Land acquisition and use: housing investments depend on land having a legal title and security through tenure and property rights. Initiatives such as land pooling, where an undeveloped piece of land is exchanged for a smaller, developed piece of land, in which agricultural land on the periphery of a city can be converted if other land is opened for agriculture beyond the city's boundaries. Ensuring property rights such as the right not to be forcibly evicted. Partnerships between community land trusts, which own land on behalf of a community, and municipal land banks, which acquire vacant land and prepare it for development. Land use: urban land cover is growing quicker than the urban population. Urban sprawl in developing nations is decreasing the density of the built environment. Factors contributing to urban sprawl include land-use

patterns that prioritize social norms that favour low-density housing, land-use segregation, economic incentives favouring low-density development. (Menon *et al*., 2019:24).

Zoning and regulation: which shape where and how new houses can be built and which the expansion of cities is planned. Cities set boundaries on their growth to minimize the impact on agriculture, forestry and outdoor leisure. Such restrictions on the supply of land for development drives up the market cost of housing. They are not many mixed-use development and inclusionary zoning, to ensure neighbourhoods have a mix of income levels and proximity to jobs and services (Menon *et al*., 2019:19).

Design and construction: while land is often the biggest cost in housing development, construction costs are sometimes even greater. Minimizing bureaucracy, as the fees and costs of complying with complicated building codes can add significantly to project cost and alternative construction materials are often not promoted. There is also a lack of Public-private partnerships on training to address skills shortages in the construction sector (Menon *et al*., 2019:28).

Housing financing: the private sector often focusses on market rate housing, where returns are expected to be higher. Adequate financing structures and funding are critical to addressing the low-cost housing challenges. Financing challenges often focus on the ability of beneficiaries to rent a home or access credit and purchase a home. They include determining eligibility for low-cost housing subsidies, grants or exemptions, securing funds to provide credit access to those in need and mitigate risks of default and assessing the importance of rental and ownership markets for long-term affordability (Menon *et al*., 2019:33).

4.4.1 The Housing Backlog

As previously stated, the official housing backlog in SA is estimated at approximately 2.1-million housing units. According to Ross *et al.* (2010:433) SA's housing backlog continues to grow. Statistics SA (2016:49-53) and Stats SA (2017:41) indicate that the housing backlog increases more in metros. According to Khaki (2009:45) the housing backlog is affected mostly by the population growth, urban migration and budgetary constraints exacerbated by the time value of money. Housing production has not kept pace with population growth (Ibem,

2011:133; Venter, 2014), the effect which is manifested in overcrowding of houses (Makinde, 2014:51). In White Paper on Housing (1994) it was estimated that the urban housing backlog of 1.5 million units – was increasing by 178 000 units a year due to population growth. More than 20 years on – Stats SA's 2017 General Household Survey found that 2.2 million households lived in informal settlements. Pretorious (2019) state that those settlement do not comply with the required and approved architectural plans.

By 2014, 2.8 million houses and over 800 000 serviced stands had been delivered, impacting the lives of millions of people in terms of access to housing. Since 1994, billions have been spent on the provision of housing, making this one of the greatest public budget investments in the direct provision of housing needs in SA (Turok, 2015). Despite this remarkable achievement, demand is still high due to population growth (Venter, 2014) and there has been sharp criticism in terms of the location of the settlements on the periphery of urban centres (Stuart & Wayne, 2009:439).

Other challenges to housing development include corruption, and limited resources (Bank, Makubalo, & Maqasho, 2010:37). According to Mabhula (2010:41) the quality of work provided by contractors remain poor and contribute to delays on housing development programmes/projects. Mbeleni (2011:23) suggests that it is unlikely the situation will improve as municipalities continue to sink deeper into financial and administrative challenges. Ratshitanga (2017:72) adds that the continued location of the poor in spaces where they have no access to socio-economic amenities has the effect of curtailing their right to equality. Williams (2009:7-9) states that housing is provided in location with lower-quality municipal services, and Lizarralde (2011:176) states that increases patterns of urban segregation. While the policies highlight the need to build inclusive human settlements, execution has been hampered by the lack of affordable land, among other factors (Turok, 2015).

According to Khan and Thring (2003:17) apartheid local governments were undemocratic, unrepresentative, fragmented and economically unviable. This brought negative repercussions on housing development for the poor and their quality of life. When current local government structures were established, they were recognised as key partners in the delivery of housing and were meant to create public participation of all role players for successful housing development. In line with this, local government act as housing developers. This means that

housing delivery success depends on local government's ability to build houses (Khan & Thring, 2003:13).

Human settlement focuses on increasing affordable housing opportunities and promotes empowerment initiatives (RSA, 2012). As one of its strategic goals is to improve functionality, integrated housing development and spatial planning to improve housing development (Western Cape Government, 2018:62-67; RSA, 2014). Housing planning and delivery in SA can only work if it is a co-production effort.

4.5 Chapter summary

A local government need to have proper plans, qualified officials to perform housing functions and implement capacity-building programmes on housing development (Menguele, 2004:24). Local government efforts to address housing challenges within its area of jurisdiction can be strengthened by a coherent, carefully considered housing plan (Xali, 2005:87-88).

The delivery of low-cost housing to the poor and the low-income households in SA reflects the State's realisation of citizens' social rights to housing and can help to strengthen a citizen's sense of belonging (Patel, 2016:2738).

Housing and economic development, infrastructure and spatial planning need to be taken into consideration in the formulation of a co-ordinated plan. Each IDP prepared must prioritise for the co-coordinated planning and development of the area to which it is related, in a way that will effectively and efficiently achieve sustainable development, promote general welfare and empowering participation in housing development (Western Cape Planning and Development Act, 1999). The State needs to support initiatives emerging from communities aimed at empowering people to drive their own economic empowerment and the satisfaction of their needs through its policies. Therefore, policies need to give effect to this approach. This will necessitate the development of collaborative initiatives and partnerships between government, the private sector and the public (World Development Report, 2001:20).

Chapter four contextualised housing development in SA, following previous chapters. Chapter five of the study presents the data analysis process and outcomes.

CHAPTER FIVE
DATA PRESENTATION AND ANALYSIS

5.1 Introduction

This chapter presents the views of research participants as collected using the research instruments previously stated. It describes the extent to which the NPHPW community participate in housing planning and delivery. It further details the analysis of data collected throughout the study.

5.2 Findings

This section presents findings of the study. The analysis is based on interviews (Annexure 4), questionnaires (Annexure 3), focus group interviews (Annexure 5) and observations (Annexure 6) with housing beneficiaries in NPHPW. The researcher also applied PAR that afforded more exposure to confirm certain foci such as people's behaviour and attitudes in order to explain their realities at grassroots. The researcher conducted an analysis of the participants' views, with housing beneficiaries and officials. Data drawn during field research were assessed against literature review. The researcher received 48 completed questionnaires from the fifty that was given to the members of the public and twenty interviews were conducted with municipal officials and members of the public.

5.2.1 Questionnaire

The questionnaire (Annexure 3) that was used to gather data consisted of questions on socio economic information, housing development and public participation issues, with an aim to determine the level of public participation of housing beneficiaries in decision-making in housing development processes in NPHPW.

5.2.1.1 Socio-economic information questions

Age of respondents: forty-six percent of respondents were between the ages of 56 and 65 years, 21% were over the age of 65 years, 19% were between the ages of 46 and 55 years, six

percent were between the ages of 36 and 45 years, four percent were between 26 and 35 years old and four percent were between 18 and 25 years of age.

Gender and marital status of respondents: seventy-seven percent of the respondents were females while 23% were males. Forty-two percent of the respondents were married, 33% were single, 15% were widowed and ten percent were divorced.

Highest grade passed by respondents: forty percent of the respondents attended school and completed grades seven to nine, 33% completed grades ten to twelve, and 13% completed grades four to six. Eight percent completed grade one to three, and six percent never attended school.

Number of dependents of each respondent: forty-four percent of the respondents had three to four dependents, 27% had one to two dependents, 23% had more than four dependents and six percent had no dependents.

Employment status of respondents: fifty percent of the respondents were employed, 29% were unemployed and 21% were self-employed.

5.2.1.2 Housing participation information

Gross monthly household income: forty-two percent of the respondents were earning a gross monthly income of between R3 001 and R4 000, 21% earned between R2 001 and R3 000, 23% earned between R1 001 and R3 000, 10% earn more than R4 000 and four percent earn less than R1 000 a month. Responses summarised in Table 5.1 below.

Table 5.1: Gross monthly income of respondents

Gross monthly income	<R1000	R1001-2000	R2001-3000	R3001-4000	>R4000
percentage	4%	23%	21%	42%	10%
Responses	2	11	10	20	5

Source: Author's own

Length of stay in Wallacedene: none of the respondents that own houses indicated that they had lived in Wallacedene for less than five years. Seventy-one percent have lived there for more than 10 years and only 29% of them have lived there between five and ten years. Responses summarised in Table 5.2 below.

Table 5.2: Respondent's length of stay at Wallacedene

Length of stay at Wallacedene	< 5 years	5-10 years	>10 years
Percentage	0	29%	71%
Responses	0	14	34

Source: Author's own

Prior residence: eighty-five percent (85%) of respondents had lived in informal settlements before receiving a site to build a house, eight percent had lived in other people's backyards, four percent had lived with other family members before receiving houses of their own, and two percent had owned a house. See also Table 5.3 below.

Table 5.3: Prior residence before receiving a house

Respondents lived:	House owner	Informal settlement	With family	Backyard
Percentage	2%	85%	4%	8%
Responses	1	41	2	4

Source: Author's own

Type of dwelling: eighty-five percent of the respondents had lived in a shack before moving into the houses that they now own. Ten percent had lived in a Wendy house, either in informal settlements or in someone's backyard, two percent lived in a house and a further two percent lived in a room (built in someone's yard or renting a room in someone's house). Responses summarised in Table 5.4 below.

Table 5.4: Type of dwelling

House structure	House	Rented room	Wendy house	Shack
Percentage	2%	2%	10%	85%
Responses	1	1	5	41

Source: Author's own

Individual participation prior to housing provision: eighty-one percent of the respondents indicated that they participated at some stage in the process leading to the provision of housing. The other 19% of the respondents indicated that they did not participate. However, others had sent family representatives to stand in for them during public meetings and the others relied on friends to relay information to them.

Public participation meetings are an important public participation strategy. Public meetings in NPHPW need to provide feedback to the public on housing development progress. Responses summarised in Table 5.5 below.

Table 5.5: Respondents individual participation

Individual participation	Yes	No
Percentage	81%	19%
Responses	39	9

Source: Author's own

Stage of participation in housing project: sixty-seven percent, participated during the construction phase of their houses, 23% participated during the planning stages, two percent did not participate at any stage, two percent participated during the delivery stage, and the other six percent participated during all different stages leading to the delivery of the house. Responses summarised in Table 5.6 below.

Table 5.6: Respondents' participation stage

Participation stage	Planning	Construction	Delivery	None	All stages
Percentage	23%	67%	2%	2%	6%
Responses	11	32	1	1	3

Source: Author's own

Awareness of advertisements: eighty-one percent of respondents were not aware of any advertisements that were placed in the media regarding the housing development by NPHPW. Nineteen percent have seen some notices in the local newspaper about this NPHPW. Responses summarised in Table 5.7 below.

Newspapers form part of level 1: “informing” public participation strategies. Strategies that only “inform” participants need to be mixed with other strategies such as level 2 and/or level 3 strategies. They should not be used on their own as they have poor participatory impact. Advertisement also present a level 1 public participation strategy, thus poor impact as per the principles the researcher explained in chapter two.

Table 5.7: Advertising awareness

Advert awareness	Yes	No
Percentage	19%	81%
Responses	9	39

Source: Author’s own

Meetings conducted: ninety-four percent of the participants were aware of the meetings and briefings that took place even though some of the people did not attend some or all of them. Only six percent of the respondents had no knowledge of any briefings or meetings that took place, regarding housing development.

Data shows that public meeting in NPHPW, were advertised, though some participants did not attend some or all of them. The participants indicated to the researcher that they were not given enough time to plan and prepare for the meeting, as they learn about some meetings on the day of the meeting. Responses summarised in Table 5.8 below.

Table 5.8: Respondents meeting awareness

Respondents awareness of meetings	Yes	No
Percentage	94%	6%
Response	45	3

Source: Author’s own

Public meetings attended: Seventy-nine percent of the respondents attended some of the public meetings that took place, 15% of the respondents indicated they attended all the meetings and a further six percent did not attend any meetings. Responses summarised in Table 5.9 below.

A large number of participants attended public meetings, which indicates that participants are willing to participate in meetings about their housing development. Meetings are level 3 strategies with high level of participatory impact.

Table 5.9: Meetings attendance by participants

Number of meetings attended	All	Some	None
Percentage	15%	79%	6%
Response	7	38	3

Source: Author's own

Discussions during meetings: fifty-two percent of the respondents indicated that when they attended meetings housing design matters were discussed, 25% indicated that when they attended meetings, labour methods were discussed. A further 23% indicated that matters relating to the project committee and its duties were discussed. None of the responded indicated that site selection and policies were discussed during any of the meetings that they attended. Responses summarised in Table 5.10 below.

More than half of the respondents attended meetings where house designs were discussed, and the majority of housing beneficiaries were satisfied with the type of house they received. That indicates that their views on design were included in the decision-making, then beneficiaries benefited through their participation on housing design meetings.

Table 5.10: Types of discussions during meetings

Meeting discussions	Policies	Project committee	Labour methods	Housing design	Site selection
Percentage	0	23%	25%	52%	0
Responses	0	11	12	25	0

Source: Author's own

Public participation strategies used: ninety-four percent of respondents suggested that public meetings were the most popular public participation strategy that was used regarding housing development. Four percent indicated that a local radio station (which is a level 1 public participation strategy) was used to communicate some aspects of housing development, such

as when and where will housing development meetings take place, and which PHPs operate in their areas. A further two percent indicated that they were part of face to face meetings that took place. Responses summarised in Table 5.11 below.

Local Radio station announcements that were made, could not be used on their own as they have low impact. They were "mixed" with public meetings which have high participatory impact and face-to-face interviews which are part of level 2: consulting public participation strategies with medium participatory impact. An "appropriate mix" of public participation strategies was used.

Table 5.11: Type of public participation strategies

Participation strategies used	Radio	Face-to-face meetings	Public meetings
Percentage	2%	4%	94%
Responses	1	2	45

Source: Author's own

Satisfaction with the public participation strategies: sixty-nine percent of the respondents were satisfied; two percent were very satisfied with public participation strategies that are used and 29% of the respondents were dissatisfied with the public participation strategies that are used. Responses summarised in Table 5.12 below.

The majority of participants were satisfied with public participation strategies used, though they were not satisfied with the way some strategies that were used. They were hoping new strategies should be used in addition to the ones currently used. For example, they were satisfied with the use of meetings as a public participation strategy. However, they were not satisfied with how they were carried out i.e. not getting ample opportunities to ask questions and not getting feedback during meetings. They were also not happy that they are invited and attend meetings with no knowledge of the agenda.

Table 5.12: Respondents satisfaction with strategies

Satisfaction with participation strategies	Very satisfied	Satisfied	Dissatisfied
Percentage	2%	69%	29%
Responses	1	33	14

Source: Author's own

Knowledge of leaders/Ward Committee members: ninety-eight percent of the respondents indicated that they know who the Ward Committees are, even if they have never had any interaction/contact with them. Some participants know who the Ward Committees are but don't know what their duties are. Only two percent of the participants do not know who the Ward Committees are. Responses summarised in Table 5.13 below.

If Ward Committees are well planned and executed, they can be seen as a level 3: empowering strategy. Data from the case study suggest that Ward Committees were not used to ensure authentic and empowering public participation. As the participants know who they are but do not know what duties they carry out and or have never had any interactions with them.

Table 5.13: Respondents knowledge of Ward Committees

Knowledge of Ward Committees	Yes	No
Percentage	98%	2%
Responses	47	1

Source: Author's own

Local government officials driving public participation: seventy-five percent of the participants agree, 19% strongly agree that local government officials are driving the process of public participation and four percent disagrees that local government officials are driving the process of public participation. Responses summarised in Table 5.14 below.

Public participation facilitators are responsible for educating and communicating strategies; plans and procedures for public participation; provide housing beneficiaries with the necessary support and information relevant to housing development; and to ensure smooth running and implementation of public participation strategies used in housing development in NPHPW.

Table 5.14: Local government officials driving public participation

Officials driving public participation	Strongly agree	Agree	Disagree
Percentages	19%	75%	4%
Responses	9	36	2

Source: Author's own

Housing beneficiaries screening: forty-eight percent of the respondents hold the view that the screening of the housing beneficiaries was done properly. A further 52% believe that beneficiary screening was not done properly. Some respondents suggested that some of the people that were last to be added on the beneficiaries' list were the first ones to receive a house, while people that registered before them waited longer. Certain respondents indicated that some beneficiaries that earn above average, to qualify for the housing subsidy still received the subsidy. Responses summarised in Table 5.15 below.

Table 5.15: Beneficiary screening

Beneficiary screening proper	Yes	No
Percentage	48%	52%
Responses	23	25

Source: Author's own

NHPHPW project satisfaction: seventy-five percent of the respondents were satisfied; eight percent are very satisfied with and 17% of the respondents are dissatisfied with the housing project/programme. Responses summarised in Table 5.16 below.

Table 5.16: Respondents satisfaction with housing programme/project

Project satisfaction	Very satisfied	Satisfied	Dissatisfied
Percentage	8%	75%	17%
Responses	4	36	8

Source: Author's own

Overall quality of municipal services rendered: sixty percent of the respondents rate the overall quality of municipal services rendered to the community as satisfactory, while two

percent are very satisfied and 38% are dissatisfied with the quality of municipal services rendered to their community.

Table 5.17: Satisfaction with services

Satisfaction with municipal services	Very satisfied	Satisfied	Dissatisfied
Percentage	2%	60%	38%
Responses	1	29	18

Source: Author's own

Choice given in terms of: housing type, house size, finance options: forty-eight percent of the respondents indicated that they were given a choice in terms of choosing the type of housing they prefer, 29% indicated that they were given an option in terms of house size they could have and 23% indicated that they were given an option in terms of finance options they could choose from. Responses summarised in Table 5.18 below.

Table 5.18: Respondents choice of house type, size and finance options

Respondents' choice	Finance options	Housing type	House size
Percentage	23%	48%	29%
Responses	11	23	14

Source: Author's own

Community participated in the project: sixty-five percent of the respondents are of the opinion that the entire community participated, 19% are of the opinion that certain individuals participated and 17% are of the opinion that only the leaders that participated in the project. Responses summarised in Table 5.19 below.

Table 5.19: Respondents community participation

Who participated	Whole community	Leaders	Individuals
Percentage	65%	17%	19%
Responses	31	8	9

Source: Author's own

Satisfaction with housing development projects at Wallacedene: fifty-eight percent of the respondents stated that they were satisfied with the housing development projects in their area, while 42% stated they were not satisfied, stating that the rate of development is very slow. Responses summarised in Table 5.20 below.

Table 5.20: Satisfaction with housing development

Satisfaction with housing development	Yes	No
Percentage	58%	42%
Responses	28	20

Source: Author's own

5.2.2 Interviews

Data was gathered using semi-structured interviews (Annexure 4) which consisted of different sections, in order to evaluate the use of COCT public participation strategies and assess the level of public participation in housing development in NPHPW.

Public awareness of housing development in the area: eighty percent of the respondents are of the opinion that the public is aware of the housing development in their area, five percent believe the public does not know of the housing development that is taking place another five percent does not know if the public has any knowledge of housing development.

Community participate in housing development: forty percent of the respondents believe that everyone participates, 20% are of the opinion that only leaders participate. The other 20% hold the view that only the councillors participate, five percent believe only people that have been chosen to receive a house that participate, another five percent do not know who participates. A further five percent believe that it's the committee members who participate and the remaining five percent are of the opinion that only women participate.

Understanding the public as the beneficiary of development: thirty-five percent of the respondents view the public as the beneficiaries of any development that takes place, 50% don't view the public to be beneficiaries of any development that takes place and ten percent said

they understand the public to be the beneficiaries at times but not always. The other five percent don't know.

The amount of housing development taking place: fifty-five percent of the respondents hold the view that there is much development taking place in their community, 30% believe that there is very little development taking place in their area and five percent believe that there is no more development taking place and a further ten percent indicated that they have no idea what development is taking place in their community.

Level of participation in the community of Wallacedene: sixty-five percent of the respondents believe the level of public participation in NPHPW is high, 30% are of the opinion that public participation levels are low and the further five percent don't know.

Public participation impact on housing development: ninety percent of the respondents indicated that they believe public participation has an impact on housing development, five percent indicated that they hold the view that public participation has no impact on housing development and a further five percent believe that public participation can sometimes impact housing development.

Role of councillors and municipal officials in public participation: eighty percent of the respondents hold the view that the role of councillors is to share information, ten percent believe that their role is to talk about housing, five percent believe that it is to select community leaders and the other five percent are not aware what the role of councillors is.

Public participation strategies are used: seventy percent of the respondents indicated that public meetings were the strategy that was used, ten percent indicated that one-on-one interviews were used, 15% indicated that community radio stations were used, five percent indicated that they don't know what public participation strategies were used.

Implementation of public participation strategies: sixty-five percent of the respondents are of the opinion that the public participation strategies that are used are implemented as they should, 35% hold the view that they are not implemented as they should, and ten percent don't know if those strategies are implemented as they should or not.

Contribution of public participation strategies used with regard to housing development: forty percent of the respondents are of the opinion that public participation strategies used have a meaningful contribution with regard to housing development, 40% believe that public participation strategies used make no meaningful contribution to housing development 15% are of the opinion that sometimes it can make a meaningful contribution to housing development and five percent don't know whether public participation has any meaningful contribution to housing development or not.

Should COCT change the strategies it currently uses: sixty percent of the respondents hold the view that the public participation strategies should be changed (different strategies should be added), 30% of the respondents are of the opinion that public participation strategies used should not be changed and ten percent don't know whether they should be changed or not. Certain respondents stated that public participation strategies should be changed to introduce other strategies, as it is only public meetings that are made use of and the other strategies are not implemented.

Role of Ward Committees: eighty percent of the respondents believe that the duties of ward forums is to set up meetings, five percent are of the opinion that ward forums do nothing, and 15% don't know what activities the ward forums perform.

Aim of public participation in matters regarding housing development: sixty percent of the respondents believe that the public meetings are planned and conducted with the aim of allowing public participation in matters of housing development, 20% of the respondents are of the opinion that public meetings are not properly planned. Fifteen percent are of the opinion that those meetings are sometimes planned and sometimes aimed to allow the public participation in matters of housing development but sometimes it is not the case and five percent do not know if those meetings are aimed to allow the public insight into matters of housing development.

Public participate in decision-making in housing development matters: ninety percent of the respondents hold the opinion that the public participate in discussing housing development issues and decision making in the community and ten percent don't know if the public participate or not.

Attendance of public participation meetings: seventy percent of the respondents hold the view that public participation gatherings are well attended by the members of the public, 15% believe that public participation gatherings are not well attended, ten percent believe that public participation gatherings are sometimes well attended and sometimes not and five percent of respondents don't know if they are well attended or not.

Consideration of community's input on housing development by local government officials: fifty percent of the respondents believe local government officials take the input from the community on housing development into consideration, 40% hold the view that the input from the public is not taken into consideration. Five percent believe that the public views are sometimes considered and sometimes not and the other five percent do not know whether the publics' input in housing development is considered or not.

Beneficiaries choice in terms of house size, type, and finance options: sixty-five percent said people were given a choice in terms of the type of house they could choose from, 25% were given a choice in terms of the size of a house they can have and five percent said they don't know if people are given a choice in terms of finance options available for them.

Do members of the public *influence, direct, control* and *own* housing development: seventy-five percent of respondents believe that members of the public *influence, direct, control* and *own* housing development, 15% hold the view that the public does not. Five percent five percent are of the opinion that the public sometimes *influence, direct, control* and *own* their development and the other five percent do not know.

5.2.3 Focus group

Focus groups were compiled by the researcher, in addition to questionnaires, interviews and observations. The researcher used (in the focus group) those respondents who did not participate in personal interviews to validate what was learnt from questionnaires and interviews. According to Davids and Theron (2014:171-177) focus groups provide a platform for discussions in a dynamic and mutual social learning context. There were two focus groups, each focus group was made up of eight participants who were purposively selected –

comprising of Ward Councillors, Ward Committee members, civic organisations, and members of the general public.

The researcher used focus groups for triangulation and to verify the information that was collected from the interviews, questionnaires and observations. Moreover, to demonstrate how correspondents' views differ or are similar. They were used to add value by confirming data gathered. Social research snowballing here means that more quality data are not only gathered (by using different methods) but that the quality of the data are often also improved through focus group research.

According to focus groups, Ward Committees are supposed to be the link between the public and officials, but they are not effective in carrying out their duties and do not have a meaningful impact on improving public participation in NPHPW. They mostly meet the people during public meetings, when the housing officials also meet the public. Members of the focus groups do not think that the public *influences, directs, controls* and *owns* housing development initiatives that take place in the case study. They also indicated that the public does not see itself as the drivers of housing planning and delivery. That can only develop when the public begins to see themselves as owners of development. Participants at the focus group discussions indicated that, although Ward Committees are used as one of the public participation strategies, the most popular strategy are the public meetings.

Focus group participants felt that Ward Committee members are biased and act on the interests of their political parties. Some participants also suggested that COCT must organise awareness workshops to educate the public about functions of Ward Committees. Participants indicated that they don't know which participation strategies to use other than meetings and stated that they do not receive all the necessary feedback from housing officials, they only receive information during public meetings.

5.2.4 PAR observations

The researcher observed during the meetings she attended that these public meetings were well attended, and though people were given an opportunity to ask questions related to the subject matter, the meetings were rushed, time was not enough to listen to all concerns. The

researcher's view is that public meetings were not used effectively to solicit public views for decision-making. This reduced the ability for beneficiaries to *influence, direct, control* and *own* their development initiatives.

The meetings took place in a public venue, and attendance registers were signed. The meetings were communicated a day before or on the day of the meeting using a loud speaker and according to the researcher the public did not enough time to prepare for those meetings. The chairperson was in charge and concluded the meetings, using languages that were understood by all. There were no people that had difficulties with understanding the proceedings. The meetings ran smoothly, and the minutes were taken, but there were no minutes of previous meetings that were discussed.

The public learnt about the meeting agenda at the meeting as there was no agenda given prior to the meeting. As a result, people come to the meeting unprepared and there was no feedback from previous meetings. Members of the public were taken serious during the meetings. No decisions were taken at the meetings, people were informed of plans going forward. Meetings did not include open discussions with question and answer sessions.

5.3 Chapter summary

Four data collection strategies were adopted to collect data from housing beneficiaries in NPHPW and from COCT housing officials that are connected to public participation and housing development in Wallacedene. Data from the questionnaires and interviews show that housing officials drive the housing development process and that beneficiaries do not *influence, drive, control* and *own* their own development. Focus groups and observations confirm the findings from the questionnaires and the interviews.

Chapter five presented data analysis. The next chapter will further integrate and compare the data to draw findings and conclusions in terms of the objectives of the study.

CHAPTER SIX
CONCLUSION AND RECOMMENDATIONS

6.1 Introduction

This study was conducted to investigate the degree of public participation and its impact on housing development at NPHPW. Public participation cannot be avoided in housing development processes. Davey (2006:80) states that public participation by all stakeholders is required for development to be successful. If public participation in housing planning and delivery is not authentic and empowering, it is unlikely to yield the desired results and lead to sustainable housing development.

6.1.1 Research aims

This study aimed to assess the public participation process applied and relevant strategies used in a housing development project (NPHPW), and to establish whether public participation in housing development in this area is practiced as legislation suggests. The study also aims to establish how the selected public participation strategies used affect housing development, in particular, and assess if housing beneficiaries can actually "*influence, direct, control* and *own"* the housing project of which they are the intended beneficiaries. In addition, the study aims to establish whether the COCT creates an enabling environment for authentic and empowering public participation for beneficiaries on matters of their development.

6.1.2 Research objectives

- To review best practices and model theories and strategies on best practise on public participation.
- To understand the degree of application of public participation in housing development, it's planning and delivery in the case study as planned and implemented by the COCT's Housing Department.
- To establish what municipal strategies are used to effect public participation, and if those strategies ensure that public opinion is considered in decision-making, inter alia how the 4 selected IAP2 Core Values are accommodated, namely:

- ✓ Value 1: the public having to participate in decision-making on matters that affect them.
- ✓ Value 2: the promise that people's contributions will be considered when decision are taken.
- ✓ Value 3: public interests and needs are communicated and met through public participation.
- ✓ Value 4: participation of those potentially affected is facilitated through public participation process (Davids & Theron 2014:112).

- o To evaluate the effect and impact of public participation on housing development.
- o To formulate recommendations regarding public participation strategies in housing delivery thereby ensuring that more "appropriate mixes" of strategies are considered which actually match local needs.

6.2 Analysis

This section analyses the presented data on public participation and assess it against the Public Participation Spectrum of the AIP2 (2000), and Arnstein's (1969) typologies. The analysis is based on the findings presented and discussed against relevant public participation in housing development theories.

The study was about how public participation strategies used in NPHPW enable housing beneficiaries to *influence, direct, control* and *own* housing planning and delivery thereby ensuring that more "appropriate mixes" of strategies are considered which actually match local needs.

6.2.1 Strengths identified in the case study

The use of public meetings and Ward Committees, which are level 3 strategies that lead the public to *control* and *own* their development and face-to-face meetings which are level 2 strategies. These public participation strategies have medium and high participatory impact and can be empowering if used correctly.

As indicated in the case study, public meetings were the most commonly used participatory strategy. As a strategy they can be empowering and are considered ideal for creating

participatory spaces to *influence, direct, control* and *own* development. They are a public participation strategy aimed at soliciting public views. According to Gwala (2011:82) they are aimed at providing the opportunity for the public to *influence, direct, control* and *own* decision-making. Empowerment can only be achieved if the strategies being used in the development process provide opportunities for beneficiaries, through their participation to *influence, direct, control* and *own* their development. Thus, authentic and empowering public participation in housing development enable beneficiaries to take ownership of development programmes.

Gutas (2005:44) argues that public meetings alone cannot ensure meaningful participation. An "appropriate mix" of participation strategies has to be adopted. Having highlighted the manner in which the COCT can get the public in NPHPW to participate, the COCT in addition to its current public participation strategies need to select the most "appropriate mix" of strategies such as the ones stated in the IAP2 (2000) and the World Bank (1996) participation toolbox.

6.2.2 Weaknesses identified

Participants indicated during the survey that even though they were happy with the use of public meetings, they would welcome the introduction of additional strategies. Data collected indicate that public meetings were not properly planned and presented. Also, during research observations the researcher observed: meeting rules and objectives were not explained, the next meeting date was not communicated and after the meeting there was no participation training or workshops as suggested by Theron (2012:7-8) and Gwala (2011:90). The planning and implementation of public meetings in NPHPW is not as it should be, which results in meetings not having high participatory impact and being less empowering.

Data collected in the case study indicates that public meetings were held to inform beneficiaries of housing development plans. Beneficiary input was not required for planning as they were only "involved" later, in the implementation stages. The data from the questionnaires and interviews indicate that local government officials are driving housing development, beneficiaries do not influence, direct, control or own it. It can therefore be concluded that public meetings held did not achieve the required level of authentic and empowering public participation. Though, public meetings fall under level 3: empowering public participation strategies as per Theron and Mchunu's (2016:132) interpretation.

Based on the public participation levels of IAP2 (2000), the public participation process in NPHPW depicted participation were housing beneficiaries were only "informed" or "consulted" about development plans by housing officials. Arnstein's (1969) model argued that "consultation" and "informing" strategies have a low level of impact, and do not allow housing beneficiaries to *influence, direct, control* and *own* the decision-making process. The empowering strategies such as citizen control, delegated power and partnership were not achieved in the case study.

The common use of level 1 strategies such as loud hailing to communicate public meetings. Level 1 strategies have a low participatory impact and are less empowering. Moreover, loud hailing announcements about a meeting are made moments before the meeting starts and beneficiaries do not attend or attend meetings without preparing for them.

Ward committees are not used effectively to promote communication between the public and officials. Ward Committees do not provide housing beneficiaries with the necessary feedback on housing planning and delivery. Participants in the focus group discussions felt that Ward Committee members are biased and act on the interests of their political parties and suggested further training of Ward Committees are needed to strengthen their role. Data from the questionnaire is more positive, but 15% of the responses were not clear on the role or value added by the Ward Committee member, with five percent of respondents reporting that there is no value add.

Beneficiaries in NPHPW, as the key elements of development did not participate fully in their development, to ensure development programmes/projects are implemented as required. Data from the questionnaire show that 75% of participants agree, 19% strongly agree that local government officials are driving the process of public participation, four percent disagree that local government officials are driving the participation process. The environment does not promote the public to *influence, direct, control* and *own* their development, and actively participate in the decision-making processes in their development.

Skills acquired during the housing development process are often not used afterwards, building capacity and sustainability were not prioritised and there was no system that was used to monitoring and evaluate the impact or the effectiveness of public participation on housing

development. During focus group discussions it was established that only participants that are still waiting to receive housing that participate, those that already received housing do not take part in any further housing development.

6.2.3 Assessment of level of public participation

Models such as the IAP2 Spectrum and other classic Arnstein (1969) models enable assessment of the appropriateness of the "mix" of public participation strategies in NPHPW to allow participants to either *influence, direct, control* or *own* the process. Each public participation strategy, when located in a selected model, will impact higher or lower, as the 3-level assessment of strategies, as highlighted by Mchunu and Theron (2016:131-132). Level 1 relates to involvement, level 2 relates to consultation and level 3 relates to empowering public participation strategies such as public meetings that are used.

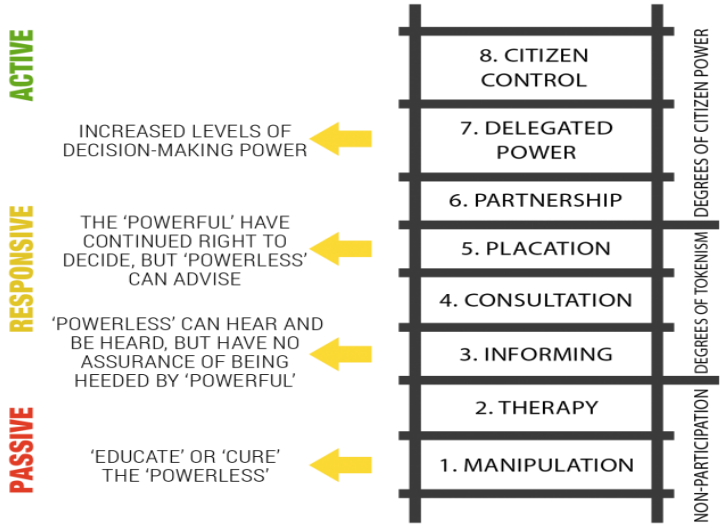
These are the public participation strategies the researcher established that they were used in NPHPW: public meetings and Ward Committees, which are level 3 strategies that lead the public to *control* and *own* their development. Face-to-face meetings which are level 2 strategies and level 1 strategies such as advertisements, newspapers, community radio, loud hailing which allow the beneficiaries to influence their housing development.

Following the above, the researcher's assessment of the 4 IAP2 variables (*influence, direct, control* and *own*), in this case study the researcher identified a public participation mix which consisted of the following:

- Public meetings;
- Ward Committee meetings;
- Advertisements;
- Local newspapers;
- Radio;
- Face to face meetings.

The study assessed these six public participation strategies which all offer a potential impact to allow beneficiaries to *influence, direct, control* or *own* their housing development initiative.

Figure 6.1: Ladder of citizen participation



Source: Arnstein's (1969) Ladder of Citizen's Participation

In assessing the public participation strategies used against the Arnstein's (1969) model: public meetings - active form of public participation with increased decision-making power; radio and local newspaper - also responsive form of public participation with no guarantee of being regarded by the powerful; advertisements - passive form of public participation, where the powerless are educated; face-to-face meetings also responsive form of public participation with the powerful have continued right to decide but powerless can advise; Ward Committees - active form of public participation with more power to make decisions.

Within the 3-level assessment of public participation strategies: public meetings and Ward Committees are level 3: empowering public participation strategies with bottom-up, high participatory impact and social learning in nature; face-to-face meetings are level 2: consulting, top-down and prescriptive in nature public participation strategies with medium participatory impact; radio, local newspaper, advertisements are level 1: informing, top-down strategies with low participatory impact. COCT must establish an "appropriate mix" of strategies to enable beneficiaries in NPHPW to participate in local government affairs such as housing planning and delivery and must for this purpose, provide for, public participation strategies such as public meetings, Ward Committees, face-to-face meetings, radio, newspapers, to be implemented to empower.

Level 3: empowering public participation strategies such as the ones identified by Gwala (2011:103-104) in his model can lead to sustainable housing. These strategies include: partnerships - where the public is represented on various committees formed to meet set objectives, to provide advice to housing officials; delegated power – A committee with the public represented, together provides input, information, and develops strategies. Members of the committee determine its objectives, that are aimed to strengthen local groups through information exchange. The public lead in housing development decision-making processes, thus allowing them to *influence, direct control* and *own* the development agenda; and citizen control – the formation of groups to work towards meeting the public needs is initiated by the public. Ward Committees through the Ward Councillors are used as its contact to the local government. The public through Ward Committee, control the use of funds that they sourced to achieve its objectives. An enabling environment is created for the public to *influence, direct and own* decisions made in their housing development.

6.3 Recommendations

Based on the best practices and model theories on public participation theories reviewed, the researcher recommends that authentic and empowering public participation must be a standard procedure that is followed in all housing development programmes/projects especially for the poor and the marginalised as it is crucial for the success of housing development.

Public meetings in NPHPW need to be properly planned, designed and implemented in order to achieve authentic and empowering public participation and should be conducted with consideration and the need to maintain sustainability. This is a priority for a P4. Officials can improve on this by communicating public meetings in advance, providing beneficiaries with the agenda in order to prepare for meetings, and ensure they are aware of how they can participate.

Other forms of public participation strategies should be added to the “mix” that is currently used to maximise participation from the public. In this regard the stated principle of an “appropriate mix” of strategies should be prioritised. As per the case study (NPHPW) the selected “mix” of strategies must be appropriate to the context in which public participation strategies are to be used: here it is important that the participation facilitator collaborate with

participants to ensure that relevant strategies are introduced. COCT officials need to apply the principle of an "appropriate mix", and how a public participation model can and should be assessed of public participation strategies employed.

Ward Committees that are elected by beneficiaries to represent them need to be kept accountable and provide regular feedback between the public and the officials.

Public participation during housing planning and delivery must be used to create a social learning environment whereby all relevant stakeholders exchange information and ideas in order to improve their development. Members of the public need to be better informed and trained on how public participation should work. Capacity-building projects that include housing beneficiaries should be prioritised and organised, where information and skills are transferred to the beneficiaries to enable them to make better decisions and own their development. Beneficiaries need to be part of decision-making and their needs should be considered and incorporated in decision-making. The ideal here is to ensure that a Public Participation Planning Partnership approach is prioritised. Also, there must be a system of monitoring and evaluation to compare the actual housing programme impact against the agreed strategic plans in the IDP and a specific housing project.

Effective and appropriate mix of public participation strategies is needed to address housing development and delivery challenges. Local governments must define their long-term plans for increasing and improving housing development of low-cost housing, balancing the need to minimize urban sprawl with the limits of the viability of building denser and taller. They need to address political considerations that could hold back the development of low-cost housing, ensure that housing developments have adequate infrastructure, explore ways to improve the situations of those living in informal housing, and create a strong regulatory enabling environment for the public, private and non-profit sectors. Private-sector players need to keep abreast of emerging solutions in construction techniques and materials, work with governments to ensure an adequate flow of skilled labour and consider new solutions in financing and innovative tenure models. Governments and the private sector need to work together to improve housing development, as well as working with individuals to help them understand their options and make informed decisions

6.4 Conclusion

This chapter gave the analysis and recommendations based on the findings of the study conducted. Following the introduction of the study in the first chapter, the researcher carried out literature review, data analysis, findings, conclusions and recommendations were made.

The study objectives aimed to review theories and strategies on best practise on public participation; to understand the degree of application of public participation in the housing development and if the strategies used ensure that public opinions are considered in decision-making based on 4 selected IAP2 (2000) Core Values; and to evaluate the effect and impact of public participation on housing development.

Based on the findings of the study, COCT has public participation strategies for use in housing development in place, but those strategies do not enable the public *to influence, direct, control* and *own* their housing development. There is a need for the identification of the "appropriate mix" of strategies that are context based to be used, as well as a need for monitoring the implementation process.

Key aspects regarding public participation in NPHPW need to be improved: such as public participation of those potentially affected, public "say", ideas and contributions to be considered in decision-making on issues that affect their lives, and ensuring the process facilitates, communicates and meet their needs. Based on the research findings, it can be concluded that strategies used are relevant strategies, though they are not properly implemented to empower participants to the required level.

SA government has failed on its obligation to ensure authentic and empowering public participation. This has compelled the government to introduce legislation, guidelines and strategies to adhere to, for the beneficiaries to actually *influence, direct, control* and *own* public participation in development that affect them. In the above regard the COCT local government still fails to create an environment for that allows for authentic and empowering participation.

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Annexures

Annexure 1 Verbal consent form

CONSENT TO PARTICIPATE IN RESEARCH

Dear prospective participant

My name is Unathi Sandile, I am a student at the University of Stellenbosch-School of Public Leadership. I would like to invite you to take part in a survey, the results of which will contribute to a research project in order to complete my Masters in Public Administration.

Please take some time to read the information presented here, which will explain the details of this project.
Your participation is entirely voluntary and you are free to decline to participate. If you say no, this will not affect you negatively in any way whatsoever. You are also free to withdraw from the study at any point, even if you do agree to take part.

The purpose of this study is to assess the level and impact of public participation strategies used in housing development.

The questionnaire/interview will take approximately 15-20 minutes to complete and will contain a combination of questions covering public participation strategies in your ward, your opinions on the role the public plays in housing development.

RIGHTS OF RESEARCH PARTICIPANTS:

You have the right to decline answering any questions and you can exit the survey at any time without giving a reason. You are not waiving any legal claims, rights or remedies because of your participation in this research study. If you have questions regarding your rights as a research participant, contact Mrs Maléne Fouché [mfouche@sun.ac.za; 021 808 4622] at the Division for Research Development.

Your information and response to the survey will be protected by not sharing your responses with anyone. You are not required to include your personal details on responses Your responses will be kept in a locked cupboard, only the researcher will have the key.

If you have any questions or concerns about the research, please feel free to contact the researcher, Unathi Sandile 0795675507 email usnathie@gmail.com and/or the Supervisor, Mr F. Theron 0218082195 email ft1@sun.ac.za.

I confirm that I have read and understood the information provided for the current study.	YES	NO
	☐	☐
I agree to take part in this survey.	YES	NO
	☐	☐

Annexure 2 Written consent form

UNIVERSITEIT•STELLENBOSCH•UNIVERSITY
jou kennisvennoot • your knowledge partner

STELLENBOSCH UNIVERSITY
CONSENT TO PARTICIPATE IN RESEARCH

Dear Madam/Sir

My name is Unathi Sandile and I am a student at University of Stellenbosch. I would like to invite you to participate in a research project entitled Assessing public participation strategies in housing development in Wallacedene.

Please take some time to read the information presented here, which will explain the details of this project and contact me if you require further explanation or clarification of any aspect of the study. Also, your participation is **entirely voluntary** and you are free to decline to participate. If you say no, this will not affect you negatively in any way whatsoever. You are also free to withdraw from the study at any point, even if you do agree to take part.

The purpose of this study is to assess public participation in a housing development project in Wallacedene. The researcher is not sent by the municipality or any organisation to conduct the study. The researcher is doing the study as a requirement to complete the Master's degree. You will not be judged or labelled because of the information they give during the study. All the information collected will be kept anonymous. Participants are **NOT** required to provide their personal details (i.e. names, home address) for the study. Data collected for this study will only be used for this study and nothing else. Only the researcher will keep the data collected. When the study has been completed all data collected will be destroyed.

Your participation in this study will be highly appreciated. Participation is completely voluntary. Should you wish to withdraw at any time during the study you may do so, there will be no negative consequences. You can continue to be part of the study and answer certain questions and leave out the others. You will not receive any payment for participating in this study and you are **NOT** required to make any payment to participate.

If you have any questions or concerns about the research, please feel free to contact Unathi Sandile 0609002867 email usnathie@gmail.com or my supervisor Mr F. Theron 0218082195/0218082084 email ft1@sun.ac.za

RIGHTS OF RESEARCH PARTICIPANTS: You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study. If you have questions regarding your rights as a research participant, contact Ms Maléne Fouché [mfouche@sun.ac.za; 021 808 4622] at the Division for Research Development.
You have right to receive a copy of the Information and Consent form.

If you are willing to participate in this study please sign the attached Declaration of Consent and give to the researcher (Unathi Sandile 0614599898), she will collect at agreed times.

DECLARATION BY PARTICIPANT

By signing below, I …… agree to take part in a research study entitled Assessing public participation strategies, conducted by Unathi Sandile

I declare that:

- I have read the attached information leaflet and it is written in a language with which I am fluent and comfortable.
- I have had a chance to ask questions and all my questions have been adequately answered.
- I understand that taking part in this study is **voluntary** and I have not been pressurised to take part.
- I may choose to leave the study at any time and will not be penalised or prejudiced in any way.
- I may be asked to leave the study before it has finished, if the researcher feels it is in my best interests, or if I do not follow the study plan, as agreed to.
- All issues related to privacy and the confidentiality and use of the information I provide have been explained to my satisfaction.

Signed on ……..……...

.....

Signature of participant

SIGNATURE OF INVESTIGATOR

I declare that I explained the information given in this document to the participant. *[He*/she] was encouraged and given ample time to ask me any questions. This conversation was conducted in [*Afrikaans/*English/*Xhosa/*other*] and [*no translator was used/this conversation was translated into* _____ by _____].

_____ _____

Signature of Investigator **Date**

Annexure 3 Questionnaire

Date	Time	
There are no right and wrong answers but your personal opinion is sought.		
For confidentiality and anonymity purposes your name is not required.		
The purpose of this study survey is to fulfil the requirements of a Master's degree in Public Administration at the University of Stellenbosch.		
Participation in this study is entirely your choice. You have a right to withdraw at any moment.		
Socio-economic information		
Age	18-25 years	
	26-35 years	
	36-45 years	
	46-55 years	
	56-65 years	
	>than 65	
Gender	Male	
	Female	
	Other	
Marital status	Single	
	Married	
	Widowed	
	Divorced	
	Other specify	
Highest grade passed	Didn't attend school	
	Grade 1-3	
	Grade 4-6	
	Grade 7-9	
	Grade 10-12	
	Other specify	
Number of dependents	None	
	01-02	
	03-04	
	More than 4	
Employment status	Unemployed	
	Employed	
	Self-employed	
	Other specify	
Housing participation information		
Gross monthly household income	>R1000	
	R1001-R2000	
	R2001-R3000	
	R3001-R4000	
	>R4000	
How long have you been living in NPHPW?	<5years	

	5-10years	
	>10years	
Before moving into this house, where did you live?	Owned/rented a house	
	At an informal settlement	
	With family/friends	
	Backyard dweller	
	In a commune/hostel	
	Other specify	
What type of structure was it?	House	
	Room in a house	
	Wendy house	
	Shack	
	Other specify	
Did you as an individual participate in the process leading to the provision of housing in NPHPW? If Yes How, If No Why?	Yes	
	No	
At what stages of the housing project did you participate?	Planning stage	
	Construction stage	
	Delivery stage	
	None	
	Other, specify	
Are you aware of any newspaper or any other advertisements that were placed regarding the NPHPW?	Yes	
	No	
Were you aware of any briefings and meetings that were conducted?	Yes	
	No	
How many public meetings did you attend?	All of them	
	Some of them	
	None of them	
What was discussed in meetings?	Policies	
	Selection of project committee	
	Labour methods & Employment opportunities	
	Housing design & infrastructure	
	Site preferences &selection	
	Other	
What public participation strategies are used in housing development in this community?	Radio	
	Face-to-face interviews	
	Public meetings	
	Other specify	
Are you satisfied with the public participation strategies that are followed in NPHPW?	Very satisfied	
	Satisfied	

	Dissatisfied	
Do you know who the leaders/Ward Committees are	Yes	
	No	
Are local government officials driving the process of public participation	Strongly agree	
	Agree	
	Disagree	
Do you think the screening of beneficiaries was done properly?	Yes	
	No	
Are you satisfied with the NPHPW project?	Very satisfied	
	Satisfied	
	Dissatisfied	
	Very dissatisfied	
How would you rate the overall quality of municipal services rendered to your community?	Very satisfied	
	Satisfied	
	Dissatisfied	
	Very dissatisfied	
Were you given a choice in terms of: house type, size, finance options?	Finance options	
	House type	
	House size	
	Other	
Who, in your opinion, from the community participate in the project?	Whole community	
	Community leaders	
	Certain individuals	
	Other	
Are you satisfied with the housing development projects at Wallacedene?	Yes/ No	

Annexure 4 Interview guide

INTERVIEWS
Instructions to be read before the interview is done
There are no right and wrong answers but your personal opinion is sought.

For confidentiality and anonymity purposes your name or personal details are not required.

The purpose of this interview is to fulfil the requirements of a Master's degree in Public Administration at the University of Stellenbosch.

Participation in this study is entirely your choice.

You have a right to withdraw from this interview at any stage.

The information provided will only be used for this study.

For more information, clarity and enquiries, please contact the researcher, Unathi Sandile 0795675507 or usnathie@gmail.com

Date of Interview: _____

Time of Interview: _____

Introduction of the researcher.

_____

In your opinion is the majority of public aware of housing development in this area?

_____

Who in your opinion, from the community is participate in development?

_____

Do you understand the public as the beneficiary of any development that takes place in NPHPW?

_____

How much housing development is taking place in this community of Wallacedene?

_____

What is the level of public participation in this community of Wallacedene?

_____

Do you think public participation has any impact on housing development?

What role do councillors and municipal officials play in public participation?

_____

What public participation strategies are used (i.e. radio, face-to-face interviews, public meetings etc.)?

_____

Do you think public participation strategies are implemented as they should be?

_____

Do public participation strategies used have a meaningful contribution to housing development?

_____

Do you think COCT should change the strategies it currently uses?

_____

What are the activities of a Ward Committees?

_____

Are public meetings properly planned and conducted with the aim to allow public participation in public matters of housing development?

_____

Does the public participate in discussing housing development issues and in decision-making in this community? If so how?

_____

In your opinion, are public participation meetings well attended by the public?

_____

Do local government officials take the community's input on housing development issues seriously?

_____

Are beneficiaries given a choice in terms of house size, type, and finance options?

_____

Do you believe that members of the public here at NPHPW *influence, direct, control and own* housing development?

_____

Annexure 5 Focus group interview

FOCUS GROUP INTERVIEW
Instructions to be read before the interview is done
There are no right and wrong answers but your personal opinion is sought.

For confidentiality and anonymity purposes your name is not required.

The purpose of this interview is to fulfil the requirements of a Master's degree in Public Administration at the University of Stellenbosch.

Participation in this study is entirely your choice.

The information provided will only be used for this study

For more information, clarity and enquiries, please contact Unathi Sandile 0795675507 or usnathie@gmail.com
INTRODUCTION

Introduction of the researcher

_____

Introduction of the focus group members

_____

FOCUS GROUP QUESTIONS
In your opinion what is the role of Ward Committees in NPHPW?

_____

Do you think Ward Committees play the role they are supposed to play and why?

_____

What impact does the public have on these Forums?

_____

In your opinion, do the public *influences, directs*; controls and *owns* housing development that takes place in NPHPW, Why?

_____

Annexure 6 Observations

Observation of public meetings

Type of meeting……. Date……

Time……. Chairperson…….

	Agree	Disagree
Meeting communicated in advance		
Meetings are communicated via notice boards/information flyers/ newspaper/radio/ social media		
Meeting taking place in a public venue		
Attendance register taken		
Chairperson in charge of the meeting		
There is a clear agenda		
Background information done prior to meeting		
Language used is understood by all		
Members are afforded equal opportunity to voice their opinions and concerns		
Only a certain group of people are allowed to engage in discussions		
Members views/concerns are considered in decision-making		
Meetings based on structured and open-ended questions?		
Meetings take form of face-to-face interviews with the public		
Members in the meeting are taken seriously		
Consensus is reached in decision-making		
Meetings include open discussions with question and answer sessions		
Are the minutes taken		
The meeting runs smoothly		
The chairperson concludes the meeting		
OBSERVATIONS:		

Annexure 7 Ethical clearance

UNIVERSITEIT STELLENBOSCH UNIVERSITY

NOTICE OF APPROVAL

REC Humanities New Application Form

15 November 2018

Project number: 7180

Project Title: Assessing public participation strategies in housing development

Dear Miss UNATHI SANDILE

Your REC Humanities New Application Form submitted on **14 October 2018** was reviewed and approved by the REC: Humanities.

Please note the following for your approved submission:

Ethics approval period:

Protocol approval date (Humanities)	Protocol expiration date (Humanities)
15 November 2018	14 November 2021

Please take note of the General Investigator Responsibilities attached to this letter. You may commence with your research after complying fully with these guidelines.

If the researcher deviates in any way from the proposal approved by the REC: Humanities, the researcher must notify the REC of these changes.

Please use your SU project number **(7180)** on any documents or correspondence with the REC concerning your project.

Please note that the REC has the prerogative and authority to ask further questions, seek additional information, require further modifications, or monitor the conduct of your research and the consent process.

FOR CONTINUATION OF PROJECTS AFTER REC APPROVAL PERIOD

Please note that a progress report should be submitted to the Research Ethics Committee: Humanities before the approval period has expired if a continuation of ethics approval is required. The Committee will then consider the continuation of the project for a further year (if necessary)

Included Documents:

Document Type	File Name	Date	Version
Informed Consent Form	Written participant consent	23/05/2018	
Data collection tool	Observ	05/07/2018	
Data collection tool	FocusGrpInterview	05/07/2018	
Default	Written participant consent	05/07/2018	
Data collection tool	InterviewGuide	07/07/2018	
Data collection tool	QuestionnaireGuide	07/07/2018	
Default	permitLetter	07/07/2018	
Proof of permission	permitLetter	07/07/2018	
Research Protocol/Proposal	proposalOnly1-4	07/07/2018	
Data collection tool	QuestionnaireGuide	12/10/2018	
Default	VerbalConsent2	12/10/2018	
Informed Consent Form	VerbalConsent2	12/10/2018	

If you have any questions or need further help, please contact the REC office at cgraham@sun.ac.za.

Sincerely,

Clarissa Graham

REC Coordinator: Research Ethics Committee: Human Research (Humanities)

National Health Research Ethics Committee (NHREC) registration number: REC-050411-032.
The Research Ethics Committee: Humanities complies with the SA National Health Act No.61 2003 as it pertains to health research. In addition, this committee abides by the ethical norms and principles for research established by the Declaration of Helsinki (2013) and the Department of Health Guidelines for Ethical Research: Principles Structures and Processes (2nd Ed.) 2015. Annually a number of projects may be selected randomly for an external audit.

Investigator Responsibilities

Protection of Human Research Participants

Some of the general responsibilities investigators have when conducting research involving human participants are listed below:

1.Conducting the Research. You are responsible for making sure that the research is conducted according to the REC approved research protocol. You are also responsible for the actions of all your co-investigators and research staff involved with this research. You must also ensure that the research is conducted within the standards of your field of research.

2.Participant Enrollment. You may not recruit or enroll participants prior to the REC approval date or after the expiration date of REC approval. All recruitment materials for any form of media must be approved by the REC prior to their use.

3.Informed Consent. You are responsible for obtaining and documenting effective informed consent using **only** the REC-approved consent documents/process, and for ensuring that no human participants are involved in research prior to obtaining their informed consent. Please give all participants copies of the signed informed consent documents. Keep the originals in your secured research files for at least five (5) years.

4.Continuing Review. The REC must review and approve all REC-approved research proposals at intervals appropriate to the degree of risk but not less than once per year. There is **no grace period.** Prior to the date on which the REC approval of the research expires, **it is your responsibility to submit the progress report in a timely fashion to ensure a lapse in REC approval does not occur.** If REC approval of your research lapses, you must stop new participant enrollment, and contact the REC office immediately.

5.Amendments and Changes. If you wish to amend or change any aspect of your research (such as research design, interventions or procedures, participant population, informed consent document, instruments, surveys or recruiting material), you must submit the amendment to the REC for review using the current Amendment Form. You **may not initiate** any amendments or changes to your research without first obtaining written REC review and approval. The **only exception** is when it is necessary to eliminate apparent immediate hazards to participants and the REC should be immediately informed of this necessity.

6.Adverse or Unanticipated Events. Any serious adverse events, participant complaints, and all unanticipated problems that involve risks to participants or others, as well as any research related injuries, occurring at this institution or at other performance sites must be reported to Malene Fouche within **five (5) days** of discovery of the incident. You must also report any instances of serious or continuing problems, or non-compliance with the RECs requirements for protecting human research participants. The only exception to this policy is that the death of a research participant must be reported in accordance with the Stellenbosch University Research Ethics Committee Standard Operating Procedures. All reportable events should be submitted to the REC using the Serious Adverse Event Report Form.

7.Research Record Keeping. You must keep the following research related records, at a minimum, in a secure location for a minimum of five years: the REC approved research proposal and all amendments; all informed consent documents; recruiting materials; continuing review reports; adverse or unanticipated events; and all correspondence from the REC

8.Provision of Counselling or emergency support. When a dedicated counsellor or psychologist provides support to a participant without prior REC review and approval, to the extent permitted by law, such activities will not be recognised as research nor the data used in support of research. Such cases should be indicated in the progress report or final report.

9.Final reports. When you have completed (no further participant enrollment, interactions or interventions) or stopped work on your research, you must submit a Final Report to the REC.

10.On-Site Evaluations, Inspections, or Audits. If you are notified that your research will be reviewed or audited by the sponsor or any other external agency or any internal group, you must inform the REC immediately of the impending audit/evaluation.